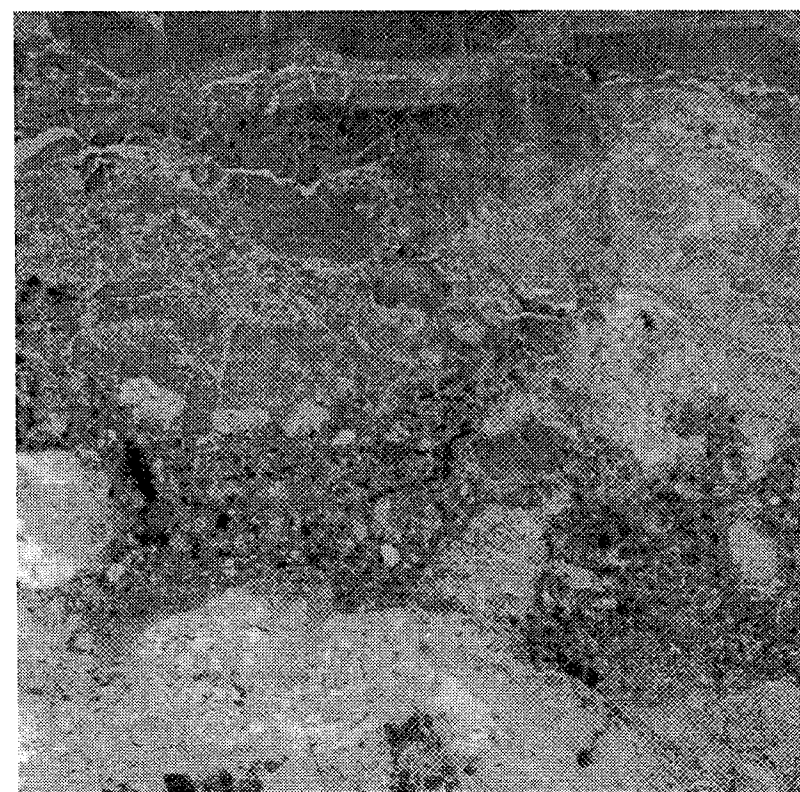


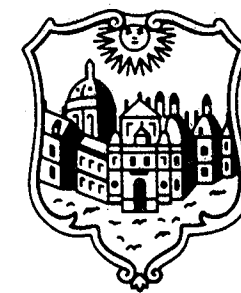


THE COLLEGE OF  
WILLIAM AND MARY  
**SELF-STUDY**  
1994



WILLIAM AND MARY  
**SELF-STUDY**

1994



THE COLLEGE OF WILLIAM AND MARY  
WILLIAMSBURG, VIRGINIA 23187

# Contents

<b>Foreword</b>	<b>xi</b>
<b>Self-Study Committees</b>	<b>xiii</b>
<b>Preface</b>	<b>xvii</b>

<i>Chapter One</i>	
<b>Institutional Purpose</b>	<b>1</b>
Mission Statement	1

<i>Chapter Two</i>	
<b>Institutional Effectiveness</b>	<b>3</b>
Planning and Evaluation	3
<i>Strategic Planning at William and Mary; Assessment and Evaluation of Educational Goals; Research Mission; Public Service Mission</i>	
Institutional Research	7
Overview	8
<i>Recommendations</i>	
Institutional Effectiveness Supplement	9

<i>Chapter Three</i>	
<b>Undergraduate Program</b>	<b>13</b>
Undergraduate Admission	13
<i>Recommendations for Student Admission</i>	
Undergraduate Programs	14
<i>The Processes of Curriculum Evaluation and Renewal: New Developments Since the 1984 Self-Study; Student Outcomes Assessment; The Old and New Curricula; Recommendations for Ongoing Assessments; Interdisciplinary Programs; The Charles Center for Honors and Interdisciplinary Studies; The Reves Center for International Studies; Recommendations for Interdisciplinary Studies; Other College-Wide Issues: [Grading Practices -- Access to Information: Course Syllabi -- Special User Fees -- English as a Second Language -- Black Studies]</i>	

<i>Chapter Four</i>	
<b>Graduate Program</b>	<b>21</b>
Introduction	21
Arts and Sciences	21
<i>Program Description; Faculty; Students; Instructional Program; Facilities; Financial Resources</i>	
School of Law	26
<i>Program Description; Faculty; Students; Instructional Program; Facilities; Financial Resources; Future Initiatives</i>	

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School of Education	30
<i>Program Description; Faculty; Students; Instructional Program; Facilities; Financial Resources</i>	
School of Business Administration	32
<i>Program Description; Faculty; Students; Instructional Program; Facilities; Financial Resources; Future Initiatives</i>	
School of Marine Science	36
<i>Program Description; Faculty; Students; Instructional Program; Facilities; Financial Resources</i>	
Recommendations	39
<i>Programs; Faculty; Students; Facilities; Instructional Programs; Financial Resources</i>	
<hr/> <i>Chapter Five</i>	
<b>Continuing Education, Outreach and Service Programs</b>	<b>41</b>
Introduction	41
Faculty of Arts and Sciences	41
School of Education	41
School of Law	41
School of Business Administration	42
School of Marine Science	42
Non-Credit Programs and Services	43
Conclusions and Recommendations	43
<hr/> <i>Chapter Six</i>	
<b>Faculty</b>	<b>45</b>
Introduction	45
Profile of the Faculty	45
The Faculty Survey	46
Selection of Faculty	47
Academic and Professional Preparation	47
Part-Time Faculty	48
Graduate Teaching Assistants	49
Faculty Compensation	49
Academic Freedom and Professional Security	50
Professional Growth	50
The Role of the Faculty and Its Committees	51
Faculty Loads	51
Criteria and Procedures for Evaluation	52
Recommendations	53
<hr/> <i>Chapter Seven</i>	
<b>Consortia and Contractual Relationships</b>	<b>61</b>
Introduction	61
Consortia Relationships	61
<i>Virginia Consortium for Professional Psychology;</i>	

<i>Virginia Consortium of Engineering and Science Universities; VILaP(rogram) in High Performance Computing and Communications; Tidewater Physics Consortium; National Physical Science Consortium; Virginia Tidewater Consortium for Higher Education; School-University Research Network; Virginia Graduate Marine Science Consortium; Chesapeake Research Consortium</i>	
Contractual Relations	63
<i>Applied Music Faculty Contracts; Kinesiology Contracts for Instruction, Equipment, Facilities</i>	
Conclusions	64
<hr/> <i>Chapter Eight</i>	
<b>Library</b>	<b>65</b>
General Introduction and Statements	65
The Earl Gregg Swem Library	67
<i>Funding and Collection Department; Staffing; Services; Facilities and Space; Automated Technology; Unit Libraries; Recommendations</i>	
The Marshall-Wythe Law Library	79
<i>Funding and Collection Development; Staffing; Services; Facilities and Space; Automated Technology; Recommendations</i>	
The VIMS Library	81
<i>Funding and Collection Development; Staffing; Services; Facilities and Space; Automated Technology; Recommendations</i>	
<hr/> <i>Chapter Nine</i>	
<b>Instructional Support and Computer Resources</b>	<b>85</b>
Introduction	85
History	85
Advisory Committee on Information Technology	86
Computing Resources	87
<i>Academic Computing; Administrative Computing; Microcomputer Maintenance; Computer Support Services</i>	
Instructional Support	89
Recommendations	91
<hr/> <i>Chapter Ten</i>	
<b>Student Development Services</b>	<b>93</b>
Introduction	93
Scope and Accountability	93
Resources	93
Advising, Counseling and Career Development	93
<i>Orientation, Career Development and Counseling; Academic Advising; The Office of the Dean of Students;</i>	



<i>International Student Services: The Reves Center; Office of Multicultural Affairs</i>	
Student Government, Activities and Publications <i>Student Publications; Judicial and Honor System</i>	96
Student Behavior	97
Student Records <i>Registrar; Other Student Records</i>	98
Residence Halls	99
Student Financial Aid	100
King Student Health Center	100
Intramural Athletics <i>Auxiliary Services</i>	101
Summary of Recommendations	102
Implementation of Recommendations from 1984 Self-Study	103
Conclusion	104
<i>Chapter Eleven</i>	
<b>Intercollegiate Athletics</b>	<b>105</b>
Overview of the College's Intercollegiate Athletics Program	106
Analysis:	108
Purpose	108
<i>Written Statement of Goals and Objectives; Underlying Philosophy of Intercollegiate Athletics Policies; Regular Evaluation of the Intercollegiate Athletics Program</i>	
Administrative Oversight	115
<i>Administrative and Institutional Control; Chief Executive Officer Responsibility; Explicitness of Roles and Responsibilities</i>	
Financial Control	118
<i>Administrative and Institutional Control of Fiscal Matters; Administrative and Institutional Control of External Units Related to Intercollegiate Athletics; Administration of Scholarships, Grants-in-Aid, Loans, and Student Employment; Institutional Oversight of Athletics Income and Expenditures; Auditing of Intercollegiate Athletics Income and Expenditures; Pressing Fiscal Issues</i>	
Academic Program	121
<i>Policies Governing Recruiting, Admissions, Financial Aid, and Continuing Eligibility of Student-Athletes; Implementation of Academic, Admission, and Financial Aid Policies; Special Admissions; Maintenance of Good Academic Standing</i>	
Nondiscrimination Policies and Practices	124
Conclusion	124
Recommendations	124

<i>Chapter Twelve</i>	
<b>Organization and Administration</b>	<b>131</b>
Introduction	131
Organization and Administration:	131
Descriptive Titles and Terms	131
Governing Board	131
Advisory Committees	132
Official Policies	132
Administrative Organization	133
Recommendations	133
<i>Chapter Thirteen</i>	
<b>Institutional Advancement</b>	<b>137</b>
Introduction	137
Current Structure of Institutional Advancement Offices:	137
Office of University Development	138
<i>Effectiveness; A New Era; Recommendations</i>	
Office of Community Relations and Public Service	139
<i>History; Strategies for Internal Communications;     Strategies for External Communications; Job     Description: Vice President for Community Relations     and Public Service; Recommendations</i>	
Society of the Alumni	141
<i>Alumni Communications; Alumni Affairs; Alumni     Records; Awards; The Present and Future;     Recommendations</i>	
Summary of Recommendations	143
<i>Chapter Fourteen</i>	
<b>Financial Resources</b>	<b>145</b>
Introduction	145
Financial Resources	146
Organization for the Administration of Financial Resources	148
Budget Planning and Development	149
Budget Control	149
External Controls	149
Accounting, Reporting and Auditing	150
Purchasing	150
Inventory Control	151
Refund and Tuition Payment Policies	151
Cashiering	151
Investment Management	152
Risk Management and Insurance	153
Conclusions	154
Recommendations	155

## Chapter Fifteen

<b>Physical Resources</b>	<b>163</b>
Introduction	163
The 1984 Self-Study: Physical Resources	163
<i>First Priority Needs; Physical Plant; Human Resources; Intramural and Recreational Facilities; Computer Model for Maintenance Scheduling; School of Marine Science; Campus Coffee Shop; Projections</i>	
Additional Concerns and Recommendations of the 1994 Physical Resources Subcommittee:	167
Introduction	167
Maintenance and Renovation Issues	168
<i>Main Campus; Compliance Issues that Necessitate Renovation/Upgrading</i>	
School of Marine Science/VIMS Campus	171
Facilities Management	172
<i>Need to Establish Databases for Effective Planning and Maintenance Purposes; Need for Campus-wide Coordination of Maintenance and Renovation Activities; Future Maintenance Personnel Concerns; Recycling; The Motor Pool</i>	
Grounds	173
<i>Lawns and Plantings; Roadways; Sidewalks and Paths; College Woods and Lake Matoaka; The Matoaka Amphitheater and Adjacent Facilities</i>	
Safety and Security	177
<i>Campus Safety Plan; Campus Police</i>	
Master Plans	178
<i>Main Campus; Gloucester Point Campus</i>	
Summary of Recommendations	179

## Chapter Sixteen

<b>Externally Funded Grants and Contracts</b>	<b>181</b>
Preamble 1: The Value of Research and Scholarship to William and Mary	181
Preamble 2: The Value of Research to the Wider Community	182
Investment in Research Infrastructure	183
<i>Human Resource Support; Campus Facilities and Offices; Initiation Funds for Research Activities</i>	
Competitiveness in Grantsmanship	184
Enhancing the Culture for Research at William and Mary	185
Summary of Recommendations	186

## Chapter Seventeen

<b>Related Corporate Entities</b>	<b>189</b>
Introduction	189
<i>Endowment Association; Real Estate Foundation; Society of the Alumni; Order of the White Jacket; Athletic Educational Foundation; School of Business Administration Sponsors; School of Law Foundation; Friends of the Library</i>	

## Chapter Eighteen

<b>Overview: Resources, People, Information</b>	<b>193</b>
Resources	193
People	196
Information	197
Conclusion	197
<b>Appendix A: Summary of Recommendations</b>	<b>199</b>
<b>Appendix B: Data Sources and Conventions</b>	<b>211</b>
<b>Appendix C: Some Ten-Year Changes: Tables and Graphs</b>	<b>213</b>

## Figures and Tables:

### Graduate Program

Demographics of Law School Faculty	26
Demographics of 1993-94 Law School Students	27
GPA and GMAT Scores of Entering Business Students	32
1993-94 MBA Enrollment	33
Placement of MBA Graduates	33
Full-Time Equivalent Graduate and Professional Students, 1983/84 and 1993/94	38

### Faculty

Faculty Profile	54
Some Demographics of the Faculty	55
Faculty Survey Results: 1993 Compared with 1991	56
Selected Faculty Survey Results	57
Selected Faculty Survey Results	58
Analysis of the Part-Time Faculty, 1983 and 1993	59
Faculty Proportions by School and by Rank, 1983-84 and 1993-94	60

### Library

Swem Library Staffing Needs	71
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### Instructional Support and Computer Resources

Computing at William and Mary	86
Faculty Use of Computers	87
Computer Facilities at Peer Institutions, 1992-93	87
Undergraduate and Graduate Student Use of Computers	88
Student Information System	88
A/V Equipment Requests	89
Permanent Audio Visual Classroom Installations	90
Computer Use at William and Mary	91
Students per Personal Computer at Peer Institutions	91

### Intercollegiate Athletics

Faculty Survey	111
Student Survey	111

### Organization and Administration

Comparison of Administrative Expenditures	135
College of William and Mary Administrative Organization	136

### Financial Resources

E&G Expenditures per FTE Student, FY90 through FY94	146
Revenues and Expenditures, FY90 through FY94	147
Ten-Year Change in Revenues and Expenditures	154
E&G Expenditures per FTE Student, FY90 through FY94	155
E&G Expenditures per FTE Student, Alternate Peer Group, FY86 and FY92	156
Current Funds Revenues and Expenditures, FY84 and FY94	157
Total Revenue Sources, FY84 and FY94	158
E&G Revenues, FY84 and FY94	159
Total Expenditures FY84 and FY94	160
E&G Expenditures, FY84 and FY94	161
State Appropriations Compared with Tuition and Fees, FY84 and FY94	162

### Physical Resources

Resolution of Selected Recommendations of 1984 Self-Study	165
-----------------------------------------------------------	-----

### Externally Funded Grants and Contracts

Sponsored Program Expenditures and % Expenditures by Division, FY94	187
Sponsored Programs Expenditures Growth, FY85-FY94	187
Indirect Cost Revenues and Indirect Cost Rates: Ten-year Profile	188

### Overview

State Appropriated Contribution for Each Tuition and Fee Dollar	194
Total E&G Expenditures per FTE Student, W&M Alternate Peer Group, FY92	194
Has the Faculty Assembly Been Effective?	195

### Appendix C

Student Headcount, 1983-84 and 1993-94	213
Total FTE Students, 1983-84 and 1993-94	213
Faculty Full-Time Headcount, 1983-84 and 1993-94	213
Total Revenues and Expenditures, FY84 and FY94	214

Undergraduate Tuition and Fees, 1983-84 and 1993-94	214
Degrees Granted, 1983-84 and 1993-94	215
Headcount Undergraduates: Proportion Female and Male, 1983-84 and 1993-94	216
Headcount Undergraduates: Proportion Minority, 1983-84 and 1993-94	216
FTE Proportion Graduate/Professional Students and Undergraduates, 1983-84 and 1993-94	217
FTE Graduate/Professional Students: Proportion by School, 1983-84 and 1993-94	217
Faculty Headcount: Proportion by School, 1983-84 and 1993-94	218
Faculty Headcount: Proportion by Rank, 1983-84 and 1993-94	218
Degrees Granted: Baccalaureate, Masters, Law, and Doctoral by Proportion, 1983-84 and 1993-94	219
Baccalaureate Degrees Granted: Business, Humanities, Science, and Social Science by Proportion, 1983-84 and 1993-94	219
Baccalaureate Degrees: Proportion Female and Male, 1983-84 and 1993-94	220
Baccalaureate Degrees: Proportion Minority, 1983-84 and 1993-94	220

## Foreword

This Self-Study report --required for the decennial reaffirmation of accreditation by the Southern Association of Colleges and Schools-- is the culmination of more than two years of self-examination by the College of William and Mary. Nearly 150 members of the university participated in formal committee roles along with many others whose participation, though less formal, was equally important. Formal participants represented all constituencies of the College community (more than 75 faculty, 20 administrators and staff, 25 undergraduates, 10 graduate and professional students, a member of the Board of Visitors, and both the President and the Executive Vice President of the Alumni Society).

The 1994 Self-Study began during the first year of President Timothy J. Sullivan's administration as William and Mary joyously celebrated its three-hundredth birthday with year-long festivities and the conclusion of a highly successful \$150 million capital campaign. Provost Gillian T. Cell joined the College family in the second, and most intense, year of the Study. The context within which each Self-Study progresses is important for understanding its style and substance. The 1984 Self-Study addressed context this way:

The 1974 and 1984 Self-Studies have coincided approximately with the beginning and end of the administration of President Thomas A. Graves, Jr. (1971-1985). The first one gave him the opportunity for a thorough review of the problems and opportunities he would face. Of course the President did not conduct or direct the self-study, but the university community was aware of its significance in shaping the plans of the new administration. The 1984 Self-Study was carried out in a different spirit. Again one of its principal beneficiaries will be a new administration, but at this writing the President and Provost are still unknown. This circumstance endows parts of the report with a tentativeness that is absent from its predecessor.<sup>1</sup>

Both President Graves and his successor, Paul Verbit, came to the College from other institutions. President Sullivan, on the other hand, began as an Assistant Professor of Law at William and Mary in 1972 and had been Dean of the Law School since 1985. The new President was not new to

William and Mary and therefore did not require nor desire a handbook or manual of operation. The major interest both the President and the Steering Committee had in the Self-Study was in understanding how to make the university an even better institution than it is.

Three events concurrent with the Self-Study had a significant effect on it: 1) the first-ever strategic planning process at the College which produced a final Board-approved plan in November, 1994; 2) the requirement in Virginia that all public institutions of higher education submit restructuring plans by September 1, 1994; and 3) publication of a five-day series in Virginia's newspapers (produced by five state papers and coordinated by the Associated Press) in September 1993, titled "Virginia's College Cost Crunch" and widely perceived as an attack on public higher education.

Within the negative atmosphere developed by the newspaper articles across Virginia, universities were forced to restructure in the harsh light of a questioning public and legislature. Because William and Mary's restructuring plan would be an outgrowth of the Strategic Plan, the university community was far more interested in that process than in the Self-Study. The emotional and time commitments of the majority of College students, faculty, administrators, and staff were directed toward the Strategic Plan because, as a Board-approved document, it would have the power of immediate action. Although the two processes --Strategic Planning and the Self-Study-- were cooperative endeavors, for the larger William and Mary community, academic year 1993-94 and the Fall semester of 1994 were consumed by the Strategic Plan. The Self-Study, it is fair to say, operated in the large shadow of "the Plan" and the resulting restructuring. Even so, this Self-Study and the Strategic Plan are in substantial agreement on major concerns at William and Mary. Furthermore, the development of a new mission statement by the Institutional Purpose Committee of the Self-Study (and subsequently approved by the student government associations, the Faculty Assembly, and the Board of Visitors) was an effort carefully integrated with the strategic planning process and committee.

<sup>1</sup> Report of Self-Study: The College of William and Mary (1985), p.1.



Strategic Plans tend to be more "outward looking" than Self-Studies, more likely to appreciate and evaluate institutions in the context of outside economic and governmental forces, institutional competition, and the marketplace --and then to formulate specific plans in the cold reality of inadequate funding and necessary priority-setting. Self-Studies tend to be more "inward looking," defining what characterizes high quality in all areas of institutions and suggesting ways to achieve it --perhaps with less attention to funding and political constraints. A Strategic Plan is more likely to suggest that some things the university does are more important than others. A Self-Study, on the other hand, is more likely to suggest that everything is important and should be maximally funded. These differences in approach are inherent in the two processes, and William and Mary's experience reflected those differences. In fact, our recently adopted Strategic Plan sets priorities for the College and, in some specific cases, sets prerequisites that must be met for continued program funding. The Self-Study, as developed in this document, is an attempt to describe what the College should do to insure excellence in everything it does and everything it should do --that is, to fashion the ideal.

The Self-Study began when Professor Lawrence Wiseman, Chair of the Department of Biology, was appointed Director by the Provost --after recommendation by the Executive Committee of the Faculty Assembly-- on December 1, 1992. The Provost next appointed eleven members to the Self-Study Steering Committee (faculty members were recommended by the Faculty Assembly), and the first meeting was held February 24, 1993. After the Committee met with a representative of the Southern Association and developed an overall Self-Study plan, 14 committee chairs --all faculty members-- were recruited and approved by the Faculty Assembly. Individual committee chairs and the Steering Committee then cooperated in recruiting members for individual Self-Study committees. Again, all faculty members were approved by the Faculty Assembly. Undergraduates were suggested by the Student Association, graduate and professional students by the Graduate Student Associations, and others by the Steering Committee. The Steering Committee also recruited a "William and Mary Community Study Group" which met a number of times to address general community concerns and to forward ideas to the Steering Committee.

Using the 1984 Self-Study and the Southern Association of Colleges and Schools *Criteria for*

*Accreditation* as reference points, committees worked throughout 1993-94. The Steering Committee sent questionnaires to all full-time faculty, 500 randomly selected undergraduates (assuring proportional representation by class), and 500 randomly selected graduate and professional students (assuring proportional representation by school). Questions were submitted by the following committees: Institutional Effectiveness, Library, Instructional Support and Computer Resources, Student Development Services, and Intercollegiate Athletics. The Faculty Committee designed and distributed its own questionnaire. Committees submitted draft reports to the Steering Committee in the early Summer of 1994.

A preliminary Self-Study report was issued November 28, 1994 to the entire campus electronically and by paper copy to many accessible, central locations. Additionally, during the course of the Study, two progress reports were given by the Director to the Board of Visitors and a number of articles explaining the Self-Study and requesting suggestions and comments appeared in the campus newsletter (*William and Mary News*) and the undergraduate weekly newspaper (*The Flat Hat*). Two campus-wide reaction meetings were held in January 1995, and suggestions and comments were received in the Self-Study Office. All comments and Steering Committee concerns were forwarded to individual committees for final revisions in February and March of 1995. This final report represents different styles and formats, different points of view and methods of operation --and a great number of specific recommendations. The variability in presentation and emphasis befits the diverse nature of the topics discussed and the groups charged with discussing them.

We thank the many people who assisted --often with good humor-- in this long and sometimes difficult process. And we thank especially: all the committee members and chairs; Alan Edwards for acting as recording secretary for the Steering Committee and for careful, tireless help in all phases of this study; Tom Daley and Daina Henry in the Office of Institutional Research for always coming through with one more set of numbers; Dean Oleson in Publications for advice and help with design and printing; Joe Gilley for designing the cover; Ben Raines for many things; Ron Rapoport for help with questionnaires and SPSS instruction; Provost Schiavelli and Cell for supporting the Self-Study Office during its two-year life; and President Livan for allowing us to use his remarks delivered at Charter Day exercises in 1995 as the thoughtful preface to this Self-Study report.

## 1994 Self-Study Committees

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 Dennis L. Taylor (Dean of the School of Marine Science and A. Marshall Acuff, Jr. Professor of Marine Science)  
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**Institutional Advancement Committee**

**David H. Finifter, Chair (Professor of Economics and Director, Public Policy Program)**  
 Ronald H. Rosenberg, Steering Committee Liaison (Professor of Law)  
 W. Barry Adams (Executive Vice President, Alumni Society)  
 Erin R. Brewster (Law Student)  
 John B. Delos (Professor of Physics)  
 Stewart H. Gamage (Vice President for Community Relations and Public Service)  
 John D. Haskell, Jr. (Associate Dean, University Libraries)  
 Carl Hershner (Associate Professor of Marine Science)  
 Robert P. Maccubbin (Professor of English)  
 Timothy G. Slavin (Undergraduate)  
 Dennis Slon (Vice President for Development)  
 Amy E. Stoakley (Graduate Student, Public Policy)  
 Kevin J. Turner (Undergraduate)

### Financial Resources Committee

Herrington J. Bryce, Chair (Life of Virginia Professor of Business Administration)  
 Joseph W. Montgomery, Steering Committee Liaison (Past President, Alumni Society)  
 Robert Archibald (Professor of Economics)  
 Joan E. Casey (Graduate Student, Education)  
 Judith Ewell (Newton Family Professor of History)  
 Sarah Brooke Garnett (Undergraduate)  
 Catrina E. Hill (Undergraduate)  
 Samuel E. Jones (Vice President for Planning and Budget)  
 Charles H. Koch, Jr. (Dudley W. Woodbridge Professor of Law)  
 Donald F. Leyoldt (Undergraduate)  
 Nancy H. Marshall (Dean of University Libraries)

### Physical Resources Committee

Howard I. Kator, Chair and Liaison to Steering Committee (Associate Professor of Marine Science)  
 William H. Hawthorne (Associate Professor of Business Administration)  
 Christopher L. Ibsen (Undergraduate)  
 Gerald H. Johnson (Professor of Geology)  
 Carmen M. Lynch (Undergraduate)  
 Edwin Pease (Instructor of Art and Art History)  
 Martha Sheets (Assistant Director of Administration, Facilities Management)

### Externally Funded Grants and Contracts Committee

Charles R. Johnson, Chair (Class of 1961 Professor of Mathematics)  
 Ronald H. Rosenberg, Steering Committee Liaison (Professor of Law)  
 Robert J. Byrne (Associate Director of Research and Professor of Marine Science)  
 David I. Finberg (Undergraduate)  
 Roy L. Champion (Professor of Physics)  
 Adam S. Potkay (Assistant Professor of English)  
 Joyce VanTassel-Baska (Jody and Layton Smith Professor of Education)  
 Paul F. Whiteley (Pamela C. Harriman Professor of Government and Public Policy)

### William and Mary Community Study Group

Alan F. Edwards, Jr. (Graduate Student, Education)  
 William H. Fisher (Assistant Professor of Anthropology)  
 Victoria Ann Foster (Assistant Professor of Education)  
 Ruth D. Graff (Statistical Analyst, Provost's Office and President, Hourly and Classified Employees)  
 James F. Harris (Francis S. Haserot Professor of Philosophy)  
 Michael A. Powell (Assistant to the President, Director of Affirmative Action)  
 Robert J. Scholnick (Dean of Graduate Studies, Arts and Sciences and Professor of English)  
 Robert E. Wone (Undergraduate)  
 Lawrence Wiseman (Professor of Biology)

## Preface

by Timothy J. Sullivan

President of The College of William and Mary

Remarks delivered at Charter Day exercises, February 4, 1995

Those of us who live here in Virginia are all too aware of the debates ongoing --in the legislature and in the media-- about higher education. The stakes in that debate are very high. We in the William and Mary community --and supporters of higher education everywhere in the Commonwealth-- mark with both anxiety and hope the progress of that contest.

So far, the contestants have mostly debated about how closely the Commonwealth's economic progress is tied to the fate of its universities. In a struggle where at least short-term success will be measured in monetary terms, no one should be surprised that proponents value education because it contributes to economic growth. Plentiful, well-paying jobs simply mean more to the public --and to the officials who serve that public-- than do our claims that we are just a few thousand dollars short of having the best history department in our peer group. Happily for us, experts link higher education quite directly to economic progress --and so our advocates' emphasis upon that link is not only efficacious but has the virtue of being true.

Yet I wonder --when I hear that the "uses of the university" rest so heavily on the calculation of economic advantage-- I wonder whether I am alone in finding that debate not only unsatisfying but deeply disturbing. What is the "use" of a university? What drove our founders more than 300 years ago to build here a place of "universal learning"? Certainly a part of their purpose was to promote economic progress --as it is part of ours. But that cannot be the whole of it. We are after all a community of teacher-scholars responsible for the education --both intellectual and moral-- of some of our nation's most promising young men and women.

Can you measure in economic terms the joy a young man from Staunton must know when for the first time he feels the full spiritual force of great literature?

Or can you quantify the sense of intellectual power and excitement a young woman from Portsmouth must know when the disciplined elegance of elementary number theory opens before her worlds she never knew?

Or what about the young man from Ohio who sees the genius of our constitutional order gradually revealed by the subtle skill of a master teacher who becomes his friend and mentor for life?

And what about our work as scholars? If we cannot quite assign a name to a new interpretation of an Anthony or to imagining a trip through the atom-- are we expected to apologize for

indulging in our love of knowledge? Well, scholarship is work for which none of us need apologize...ever. The true task of a scholar --so often and so foolishly mocked-- is the discovery of new knowledge or the patient reworking of what is already known so that we may sometimes discover what we didn't know after all.

Is some of our scholarship esoteric? Is some of it inaccessible? Does some of it, finally, turn out to be wrong? Of course, of course. We all know the frustrations of facing dead ends --the anguish of almost, but not quite, finding what we seek, the futile struggle with stubborn facts which puncture our once so promising hypotheses.

Yet there is compensation not monetary. And, on the other hand, not only in the joy of intellectual quest --as profound as that joy can be. There is also compensation in the knowledge that even dead ends are not without their consolations --and then, most of all, there is that very occasional triumph when it all works, when we do, we really do, add to the sum of human knowledge. The debates that rage today --even in support of higher education-- sometimes give short shrift to knowledge, inadvertently valuing it only when there is an economic payoff.

But the primary purpose of this College is not profit. It is to transmit the scholar's love of learning to students who learn, in turn, not only facts but a profound *humility* in the face of all that is yet to be known. It is to imbue care about the life of the mind, reverence for the world of ideas, and the concomitant development of an intellect that will be more than a match for the changes --good and bad-- that the 21st century will bring.

These are hard times for people who think. But the quiet company of scholars long dead --the sustaining power of their legacy-- gives fresh hope at a dark moment. Who here today will not be moved by these marvelous last words of Sir Isaac Newton? "I don't know what I may seem to the world," he said, "but as to myself I seem to have been only like a boy playing on the seashore and diverting myself in now and then finding a smoother pebble or prettier shell than ordinary, whilst the great ocean of truth lay all undiscovered before me."

Our future as a civilized people depends upon the survival of places like this, which are ready --always-- to welcome the young scholars of the next generations, women and men who have dedicated their lives to the discovery of truth --all the while knowing that truth is a resourceful fugitive almost certain to remain just beyond their grasp-- but who are more than consoled by the value of the quest for that great ocean of knowledge that is destined perpetually to lie undiscovered before them.



## Chapter One

# Institutional Purpose

**Edward P. Crapol, Chair (Chancellor Professor of History)**

*Lawrence Wiseman, Steering Committee Liaison (Professor of Biology)*

*James W. Beers (Professor of Education)*

*Kristen Brustad (Assistant Professor of Modern Languages and Literatures)*

*Geoffrey P. Eaton (Undergraduate)*

*John E. Graves (Associate Professor of Marine Science)*

*Franz L. Gross (Professor of Physics)*

*Jennifer D. Sharp (Undergraduate)*

*Ronald R. Sims (Floyd Dewey Gottwald, Sr. Professor of Business Administration)*

*Kathleen F. Slevin (Associate Professor of Sociology)*

*Rodney A. Smolla (Arthur B. Hanson Professor of Law)*

*Mark J. Washko (Graduate Student, Public Policy)*

The Institutional Purpose Committee began meeting in October, 1993, and quickly agreed with the written statement made by the Visiting Southern Association of Colleges and Schools Reaffirmation Committee following the last Self-Study in 1984.

The statement of purpose in the William and Mary self-study is an object of considerable concern to the Visiting Committee. The problem as we perceive it is that the statement is much more appropriate to what the institution once was than to what it has become or has gone so far toward becoming as to be, in a practical sense, irreversible. Essentially, the distinction is between a statement of mission that is suitable for a distinguished liberal arts college and one that would clearly identify the institution as a university and then proceed to establish the kind of university it aspired to be within the framework of the constraints (internal and externally imposed) on it and the opportunities open to it. ("Report of the Reaffirmation Committee, College of William and Mary, Williamsburg, Virginia, April 8-11, 1993, page 5)

The committee also agreed with President Sullivan's remarks upon his inauguration as twenty-fifth president of the College:

Over the past part of a generation, William and Mary has struggled to come to terms with the challenge of moving from a liberal arts college of the 19th century to a small university which has a continuing commitment to providing a liberal arts education with a limited number of graduate programs and a high quality graduate and

professional programs. Today, for the sake of our common future, I wish to declare the debate closed; the contest concluded. We honor our past by retaining proudly our historic name, but we shall better serve our future if we embrace honestly the incontestable fact that we have become a university. ("The Inauguration of Timothy J. Sullivan, The Twenty-Fifth President of The College of William and Mary In Virginia, Friday, October 16, 1992," page 24)

Working cooperatively with the Strategic Planning Committee, a set of "preliminary planning principles" (on file with the Self-Study document collection) was developed to guide both the writing of a new mission statement and the development of a university-wide strategic plan. After community discussion of the "principles" in open forum --and with mission statements gathered from fifteen peer institutions for comparison-- the Institutional Purpose Committee composed the following mission statement affirming the university character and goals of The College of William and Mary.

### Mission Statement

The College of William and Mary, a public university in Williamsburg Virginia, is the second-oldest institution of higher learning in the United States. Established in 1693 by British royal charter, William and Mary is proud of its role as the Alma Mater of generations of American patriots, leaders and public servants. Now, in its fourth century, it continues this tradition of excellence by combining the best features of an undergraduate college with the opportunities offered by a modern



research university. Its moderate size, dedicated faculty, and distinctive history give William and Mary a unique character among public institutions, and create a learning environment that fosters close interaction among students and teachers.

The university's predominantly residential undergraduate program provides a broad liberal education in a stimulating academic environment enhanced by a talented and diverse student body. This nationally acclaimed undergraduate program is integrated with selected graduate and professional programs in five faculties -- Arts and Sciences, Business, Education, Law, and Marine Science. Masters and doctoral programs in the humanities, the sciences, the social sciences, business, education, and law provide a wide variety of intellectual opportunities for students at both graduate and undergraduate levels.

At William and Mary, teaching, research, and public service are linked through programs designed to preserve, transmit, and expand knowledge. Effective teaching imparts knowledge and encourages the intellectual development of both student and teacher. Quality research supports the educational program by introducing students to the challenge and excitement of original discovery, and is a source of the knowledge and understanding needed for a better society. The university recognizes its special responsibility to the citizens of Virginia through public and community service to the Commonwealth as well as to national and international communities. Teaching, research, and public service are all integral parts of the mission of William and Mary.

### Goals

In fulfilling its mission, William and Mary adopts the following specific goals:

- to attract outstanding students from diverse backgrounds;

- to develop a diverse faculty which is nationally and internationally recognized for excellence in both teaching and research;
- to provide a challenging undergraduate program with a liberal arts and sciences curriculum that encourages creativity, independent thought, and intellectual depth, breadth, and curiosity;
- to offer high quality graduate and professional programs that prepare students for intellectual, professional, and public leadership;
- to instill in its students an appreciation for the human condition, a concern for the public well-being, and a life-long commitment to learning; and
- to use the scholarship and skills of its faculty and students to further human knowledge and understanding, and to address specific problems confronting the Commonwealth of Virginia, the nation, and the world.

Approved by:

Graduate and Professional Student Association  
April 6, 1994

Student Association Council  
April 19, 1994

Faculty Assembly  
April 26, 1994

Board of Visitors  
August 22, 1994

## Chapter Two

# Institutional Effectiveness

**Wanda A. Wallace, Chair (John N. Dalton Professor of Business Administration)**

Audrey M. Harris, Steering Committee Liaison (Member, Board of Visitors)

Christopher J. Abelt (Associate Professor of Chemistry)

Neal Batra (Undergraduate)

James N. McCord, Jr. (Associate Professor of History)

Robert W. Smith (Graduate Student, Psychology)

Jean A. Scott (Acting Associate Provost)

Kelly G. Shaver (Professor of Psychology)

Robert S. Uhlfelder (Undergraduate)

### PLANNING AND EVALUATION

#### Strategic Planning at William and Mary

William and Mary has established processes for combining strategic planning in virtually all sections of the institution with on-going assessment of the educational program. The major challenge is to establish meaningful strategic criteria that are actually useful for "on-going assessments of the educational program." Established in the Fall of 1993, the 25-member Strategic Planning Committee prepared over the course of about one year a plan to ensure that the College "enhances both the quality of its programs and its position in a competitive environment." The Committee's interim report (March, 1994) was debated by the university community and was followed by a fully developed plan that was again discussed in a series of open university forums in the Fall of 1994. A "final" Strategic Plan was produced and presented to the President on October 21, 1994. After very minimal changes, the President presented it to the Board of Visitors which approved it on November 11, 1994. The plan intended to "state objectives so that progress towards their achievement can be measured." Subsequently, a 22-member Implementation Committee was formed by the Provost and began meeting in January, 1995 (15 of the 22 members are holdovers from the original Strategic Planning Committee).

The Institutional Effectiveness Committee will assess several aspects of the new Strategic Plan from the criteria by which academic programs (e.g., M.A. programs) and faculty activities (e.g., public service) have traditionally been measured. The College's ongoing assessment activities therefore, particular care must be taken

in the implementation phase if the stated objectives of planning and evaluation are to be achieved. Specifically, it is essential to state the Plan's objectives operationally so that progress towards their achievement can be measured.

Some concern has been expressed, especially by faculty, about the timing of the strategic planning process and its relationship to, and coordination with, other long-term planning and evaluation procedures. The 1974 William and Mary Self-Study Report specifically recognized as a major deficiency the lack of coordinated long-range planning; but the 1984 Self-Study expressed guarded optimism that through the work of the Planning and Priorities Committee, the College seemed to be making progress in formal planning and in identifying and establishing institutional priorities. During the 1980's the Planning and Priorities Committee strengthened the implementation of several major initiatives, including preparing for a major capital campaign, issuing a planning calendar, annually reviewing private fund raising priorities, and publishing an annual report analyzing trends in enrollment, sources of funds and expenditure patterns.

The Planning and Priorities Committee was effectively replaced by the late 1980's with the University Policy Advisory Committee (UPAC), chaired by the Provost and composed of the Academic Deans, Vice Presidents, the Executive Committee of the Faculty Assembly, and the presidents of the undergraduate and graduate student government organizations. Although apparently no specific written charge has yet been given to UPAC, the Committee has been less concerned with

on-going planning and more concerned with meeting budget crises, especially in the last few years. Even then the Committee is perceived by many primarily as a vehicle for disseminating information by the Provost and the Vice President for Planning and Budget and for endorsing the administration's plans, rather than as a deliberative body that forms part of an on-going planning process involving broad-based participation by the College community.

The creation of the Strategic Planning Committee was in part, it seems, an effort to overcome the limitations of UPAC. As such it is to be welcomed (the Strategic Planning Committee, it should be noted, ceased to exist after Board acceptance of the Plan and, as mentioned above, an Implementation Committee was created by the Provost and began consideration of implementation in January, 1995). However successful the Strategic Planning Committee may or may not have been, for effective and collegial planning, it is preferable to have well-established on-going procedures rather than a single committee operating under a short-term deadline (the latter no doubt in part dictated by externally imposed demands, i.e., from the State Council of Higher Education, the Governor's Office, and so on). Moreover, it seems obvious that the work of the Strategic Planning Committee would have benefited from the completion of the current Self-Study.

In the future, it would be preferable for these two university-wide initiatives (Strategic Planning and the Self-Study) to be conducted sequentially, rather than concurrently. Some efforts were made to ensure coordination, including: extensive cross-membership between the Strategic Planning Committee and UPAC; the Director of the Self-Study's service on the Strategic Planning Committee; and meetings with chairs of some, but not all, of the Self-Study committees. **This coordination must be improved in future planning exercises by including participation of standing committees of the College and by ensuring comprehensive involvement of Self-Study committees addressing key issues of interest to the Strategic Planning Committee.**

The relationship between and among the recommendations of the Strategic Planning Committee, those of the Self-Study, and the University

Policy Advisory Committee is still unclear. **More importantly, the effectiveness of an on-going planning process depends heavily upon the widespread accessibility of planning information and the general level of confidence which the College community has in the planning and governing process.** Results of the Self-Study survey of faculty<sup>1</sup> indicate that a substantial portion of faculty do not believe that they receive adequate information at the university level for evaluating planning decisions (33% of 231 faculty returning surveys, but 44% of those offering an opinion --although only 15 percent (or 21% of those offering an opinion) feel similarly about information at the school level. The faculty's perception that information is lacking is compounded by a lack of confidence in the effectiveness of the Faculty Assembly. While a large proportion (42 percent) of those surveyed did not answer the question (perhaps because they do not know, are withholding judgment, or simply don't care to answer), only 2 percent think the Assembly has been effective (2 percent think it has not been effective).

The release of the Strategic Plan was, and continues to be, vigorously discussed in a number of forums. The concept of planning has been embraced as an important facet of institutional management by the Faculty Assembly; but it is important to note that the Faculty Assembly declined in a formal vote to endorse the recommendations contained in the Strategic Plan. As an evolving process, strategic planning must in the future be expanded to include --in both development and the review process-- every constituency, particularly those that may be adversely affected. Planning in a context of severe budget limitations, legislators' pressures, and time constraints, produces inevitable trade-offs. How to create a sense of fairness, dialogue early in the process with affected parties can help build confidence and ensure that committee deliberations have sufficiently considered the manifold dimensions of each issue.

Many of those who question the Faculty Assembly's effectiveness believe that the Assembly is not sufficiently involved in important decision-making processes and that the Assembly should take positions on major issues facing the College. Part of the Assembly's perceived ineffectiveness is attributed to the lack of advance consultation

the administration; and part is attributed to the Assembly's heavy dependence on its own Executive Committee. Regardless of the reasons, lack of faculty confidence in the Assembly and the faculty's belief that they may not receive sufficient information to evaluate university decisions suggest that unless some organizational changes are adopted, the current strategic planning process and the Self-Study itself may also meet with a good deal of skepticism. **This skepticism may be mollified if the administration makes a concerted effort to involve regular faculty committees in implementing the recommendations made in the Strategic Plan.**

The Self-Study and the Strategic Planning initiatives should provide opportunities to make UPAC's voice in the planning process more regular and more forceful and, in turn, to enhance the Faculty Assembly's substantive involvement in the planning process. Although other groups may and should be solicited for their reactions to the reports of the Self-Study and Strategic Planning, the Faculty Assembly is specifically charged to advise the President and the Provost and to "assess the impact of proposed programs and proposed changes which affect more than one faculty...or significantly affect the university's resource allocation or educational mission." As a first step towards increasing the effectiveness of the planning process, **we urge that all the recommendations of the Self-Study Report and Strategic Planning Report be systematically reviewed by the Faculty Assembly, UPAC and the relevant assemblies of the schools and that annual reports on the status of these recommendations be issued to the college community.** These reports should include a listing of recommendations made, anticipated consequences of inaction, and an overview of follow-through on the Self-Study recommendations and the Strategic Plan.

#### Implementation and Evaluation of Goals

In addition to the current strategic planning process, the College has had in place for some time a process of assessing achievement against goals, specifically for the undergraduate and professional programs. Other activities also receive attention. Documents resulting from the assessment are voluminous (the Self-Study collection containing these and other documents will be archived with the Report).

The College has an excellent assessment process in place for graduate departments and

programs. This process includes surveying current students and alumni, outside evaluation, and follow-up by the Dean. The outside evaluation of graduate programs in Arts and Sciences seems to work similarly; the professional schools rely primarily on their separate accreditation processes to identify areas of strength and weakness. These procedures probably work reasonably well. As part of a continuous evaluation process, more should be done in the systematic tracking and reporting of scores on standardized examinations such as GRE, GMAT, LSAT, MCAT and similar examinations, as well as the performance of graduates of professional programs on certification and licensing examinations. The Dean of the Faculty of Arts and Sciences has supported evaluation activities by making resource allocation decisions consistent with results of the assessment process. Hence, it is possible to see progress from past evaluations, as well as planning steps to support proposed changes. The reforms initiated by the recently completed Arts and Sciences curriculum review present an assessment program that reflects positively on the College.

There are, however, settings where responses have not been as effective; specifically, one area in which evaluations of graduate programs in the Arts and Sciences have been notably ineffective has been in their failure to raise stipends for graduate assistants. Outside reviews have pointed out that stipends are at low levels (in constant dollars they are about half the value of a decade ago), hurting the College's competitive position and risking the admission of an increasingly weaker student body. **To avoid such shortcomings in the future, objectives, criteria, resources, and assessment tools need to be linked to ensure that policies encourage achievement of the College's goals.** Note that the criteria for evaluation identified herein are not the same as the Strategic Planning Committee's criteria for the retention of programs and are offered here as part of what needs to become a continuous tracking system for assessment.

Although there are significant surveying and local evaluation activities in the area of student services, it is less clear that we have a sense of how well we are doing in achieving our goal of educating the whole person and integrating out-of-class learning with in-class learning. **The development of integrated assessment mechanisms in student affairs and the coordination of those with the academic deans would be appropriate.** The College should give particular attention to its effectiveness in serving international students, espe-

1. The Self-Study Steering Committee sent questionnaires to faculty and students which included questions from the Institutional Effectiveness Committee. The questionnaires and data are on file in the Self-Study document collection.

cially if it aspires to increase its stature in the area of international studies.

To be effective, planning should include "brainstorming," including consideration of radical change periodically, e.g., evaluating privatization possibilities, alternative uses of facilities in the summer, and ways of simplifying purchasing procedures. Planning should include explicit motivation initiatives through performance evaluation, for example, motivating centralized support services through planned use of evaluation measures that are oriented toward user groups and desired objectives (e.g., assessment of the time elapsed before equipment is fixed, a part is ordered, or the Inter Library Loan Office acts on a student's request; or the times laboratories are open or the percentage of a typical graduate student's library needs that are available on campus). Open and frank discussion can ensure more thorough consideration of both proposals and changes, as well as increase involvement by the broader College constituency.

### Research Mission

The College does not employ a systematic, comprehensive evaluation of its research function. The Office of Grants and Research Administration publishes annual reports which show that faculty grants and contracts have grown steadily. There is no bench-marking to determine whether or not our faculty get their fair share of external funds compared to their competitors. Such a system should be developed, and for it to be effective the College must also assess the level of support it offers its grant-seeking faculty through the Office of Grants and Research Administration. Is that office adequately funded and staffed to offer the services the faculty need? How do the services we provide our faculty compare to those offered to faculty at our peer institutions? Do the College's policies on the distribution of overhead encourage or discourage research? Does release time accorded to those obtaining grants provide reasonable incentives and are they comparable to other institutions' support levels?

Of course, no amount of support to the Office of Grants and Research Administration will overcome the other important factor meriting attention, which is the College's high teaching loads for a research university (Doctoral I Carnegie Classification). As research objectives are weighed alongside teaching and service initiatives, it is relevant to recognize that extensive research involvement is exceedingly difficult among faculty who teach five and six courses per year. Our research-active faculty are competing with faculty at peer institu-

tions whose teaching loads are often no greater than four courses per year (and at several institutions, just three courses per year). The issue is not "release time to those obtaining grants," because release time can be built into the proposals. Rather, the issue is whether current course loads act to prevent faculty from applying for initial grants.

Evaluation of faculty research is carried out largely on an individual basis. Departmental or school personnel committees assist department chairs or deans in regular and systematic evaluations in the three areas of teaching, scholarship and service. Departments and schools vary in the emphasis placed on the three areas and generally try to avoid the pitfalls that come from applying single, uniform models of evaluation. The institution's reputation for scholarship depends heavily on the achievements of individual faculty members, but in national rankings of research productivity, the College's record has been impressive. For example, the College recently ranked fourth in the country for public universities in the number of fellowships per faculty member in the arts and humanities (in *The New American Search University* by Hugh Graham and Nancy Diamond, The Johns Hopkins University Press, 1994), and *Current Contents* reported (June 1993) that for primarily undergraduate institutions William and Mary had the highest number of scientific publications for the decade 1981 through 1992.

The College's new mission statement stresses the connection between research and teaching. Although the connection is difficult to quantify, measures of success could include the fact that William and Mary ranked 8th among the nation's schools in graduating women who earned doctorates in the sciences and ranked first in the American Chemical Society both in the number of certified chemistry graduates and the total number of bachelor degrees in chemistry among institutions without doctoral programs --and even in the number of certified chemistry graduates among all institutions of higher education, regardless of size (American Chemical Society, 1993). The undergraduate accounting program in the College of Business Administration placed 17th in the country according to a survey by the American Accounting Report.

Broadly defined, scholarship includes original research but the preservation of knowledge, and expansion of knowledge. Part of the College's effectiveness in integrating the College's three

of teaching, research, and service is the role played by academic journals. William and Mary has at least a dozen faculty members who serve as editors of such journals. Too frequently the faculty who undertake these activities must spend much of their time in largely secretarial duties because of inadequate support from their respective departments and schools. To encourage such scholarly activities and to avoid duplication of secretarial efforts, the College should explore the idea of providing centralized editorial support for academic journals. Being the editor of a scholarly journal is an exceedingly time-consuming task, apart from the secretarial obligations. Given the added visibility to the College and the considerable time commitment, a policy should be established similar to that which recognizes serving on the Executive Committee of the Faculty Assembly through providing one-course relief during the editorship of a national journal.

### Public Service Mission

Until recently, the College's public service mission had been broadly defined and no systematic evaluation had occurred. In November, 1993, President Sullivan created a Task Force on Public Service with a three-fold charge: (1) to assess thoroughly the current activities of public service at the college, (2) to develop a coherent vision for public service at William and Mary that integrates curricular and co-curricular experiences for students, and (3) to recommend specific strategies for enhancing the College's commitment to public service. The task force surveyed student organizations, academic deans, department chairs and graduate programs and concluded not only that the current level of public service among faculty and staff is extensive but that the activity includes both volunteerism and academic linkages.

The "Task Force Report" (released in June, 1994) included a number of recommendations; including the creation of a more coherent experience for students on the theme of public service both in the curriculum and recognizing public service as an integral part of teaching, research, and service. The report recommended the continuation of the Office of Public and Community Service and the establishment of an advisory committee with that Office. In addition, the report recommended the creation of a process for the College's service assessment. The College's service plan also emphasizes "public service," and the new

Mission Statement (see previous chapter) strengthens the university's commitment to service. As such plans are implemented, however, it is relevant to consider that public service often-times involves considerable out-of-pocket expenditures by the individuals involved. At a minimum, the College should reimburse such costs and recognize the substantial time commitments through significant recognition in merit raises. If service is to become a more important expectation of faculty, its recognition must also become more important.

### INSTITUTIONAL RESEARCH

Institutional research at William and Mary seems to be in transition. Until July 1, 1994, responsibility for this important function was assigned by the President through the Provost and the Vice President for Planning and Budget to the Director of Planning and Institutional Research. The position now --while occupied by the same person-- is titled Director of Planning and Budget. The Assistant Director of Planning and Institutional Research reports to the Director of Planning and Budget (because there is no longer a Director of Planning and Institutional Research). The "Office" also includes one half of a half-time (i.e., one-fourth) "budget manager." There are, therefore, just two and one-fourth people in the Office.

The Office of Institutional Research devotes most of its attention to federal and state reporting, and staffing levels make it difficult to provide and monitor in a timely fashion the information needed for planning and for evaluating the College's success in carrying out its mission. But as information and access to it become ever more important for the entire university community, the administration must examine its commitment to institutional research.

**We strongly recommend that the College systematically investigate the sizes of other university institutional research offices, determine appropriate staffing levels for William and Mary, and attempt to staff this office at a reasonable level.** And, in contemplating resource allocation in this area, the College should document the continuing growth in state reporting requirements and the cost implications of these growing demands. Perhaps both the local university community and the state agencies requesting so much detailed information can be sensitized to the cost implications of their growing requests.

The critical element in achieving, sustaining, and enhancing institutional effectiveness is communication. Essential to communication is the



accessibility of relevant information and an effective network that links the entire university --including administrators, faculty, students, and interested constituencies. Through such a network, information can be collected, shared, and commented upon on a timely basis through low-cost information exchange systems such as e-mail, "gophers," and bulletin boards. The absence of effective communication not only fosters ignorance but leads to indifference, apathy, and even charges of administrative highhandedness. Moreover, effective use of technology removes the need for repetitive and redundant or episodic surveys and assessments. In short, the College needs a better integrated exchange of information to ensure that campus-wide goals can be met. **We believe the university should address seriously the need for university-wide access to centralized data bases maintained by the Office of Institutional Research.** Decentralized information gathering from centralized data bases will increase the efficiency and effectiveness of almost every activity at the College.

Just as technology is critical to an effective communication process, it requires proper attention and prompt maintenance to ensure its effectiveness in the teaching, research, and service activities of the college. To this end, training, documentation, on-line assistance, and timely attention to more than administrative needs are essential. For increased university-wide effectiveness in all areas, the College must provide meaningful assistance in acquiring technology, in smoothly integrating its use into the everyday activities of all constituent groups, in training to ensure straightforward and universal accessibility, and in supporting day-to-day applications.

To ensure continuous improvement of planning and evaluation processes, many kinds of data and performance measures should be tracked and reported regularly. These should include the kinds of information used by *U.S. News and World Report* which ranked William and Mary as fourth most efficient in the nation in delivering a top educational program with limited resources and eighth among the top 15 schools to graduate women who earned doctorates in the sciences. By creating a "template" of current operations relative to various peer groups, the College could more easily describe the differences and similarities between itself and other institutions, but perhaps more important, it could more easily determine whether or not current operations are consistent with the College's mission. Data should include such things as class sizes, teaching loads, expenditures per student,

research lab availability, library resources per student, administrative costs per student and per faculty member, technology investment per employee, funding sources, student aid, ratio of fund-raising costs to funds raised, expenditure profiles and performance measures such as comparison of budget to actual semester, the number of FTE faculty assigned to undergraduate and graduate teaching as a percentage of the enrollment derived FTE faculty, the number of students dis-enrolled in a given semester, percentage of students housed on campus, and so on. Much of this information is already available in the data collected by Institutional Research, but it is often in a form not easily comparable from one institution to another --or not readily available to those needing the information.

To ensure broad-based participation in the ongoing planning and evaluation process, budgetary information should also be readily available. The latter should include such software as interactive simulation programs that would enable the Faculty Assembly to participate more effectively in the governance of the university by providing faculty the means to assess the fiscal impact of proposed changes and resource allocation within the university. Again, this data should be consistently maintained over time and archived to permit time-series and cross-sectional analysis to be formed. For the Office of Institutional Research to provide essential services for on-going planning and evaluation activities, it should work closely with the Computer Center, Technology Services, and the Office of Telecommunications to inventory available data and to create a readily-accessible, integrated, information network.

### OVERVIEW

It is the Institutional Effectiveness Committee's understanding that each Self-Study committee reviewed at least the most important recommendations from the 1984 Self-Study Report and considered the status of these recommendations (e.g., action taken, accomplished, no longer applicable, or remains an open item). The major recommendations which the Strategic Plan interfaces with the Self-Study committees' recommendations should be evaluated during the implementation phase of that plan and in the remaining phases of the Self-Study process. We hope that the recommendations and suggestions made in our report will help improve the planning and evaluation process, help ensure annual evaluation of the recommendations made in the 1994 Self-Study Report (Strategic Plan), encouraging continuous assessment. Moreover, by avoiding a lock-

in every ten years" Self-Study routine, we can strive for consistent tracking year-to-year of both routine and special initiatives. The linking of the campus and special initiatives by a technologically sophisticated information network will also encourage access to resources of general interest to the College community in the form of workshops, speaker activities, and special programs. Interactive communication should also have a synergistic effect, enhancing and expanding William and Mary's planning, evaluation, and research activities and enabling the institution to fulfill more effectively its teaching, research and service missions.

### Recommendations

1. The coordination of future strategic planning exercises must be improved by including participation of standing committees of the College and by ensuring comprehensive involvement of Self-Study committees.

2. The administration should make a concerted effort to involve regular College committees in implementing the recommendations made in the Strategic Plan.

3. The recommendations of the Self-Study and of the Strategic Planning Committee should be systematically reviewed by the Faculty Assembly, the University Policy Advisory Committee, and the relevant assemblies of the schools, and annual reports on the status of these recommendations should be issued to the College community. These reports should include a listing of recommendations made, actions taken, consequences of --and reasons for --inaction.

Objectives and goals, criteria, assessment methods, and resources must be linked to ensure that they encourage achievement of College goals. Performance measures must be supported by (a) a corresponding measure of institutional support for the activity, and (b) College support for the effort and time needed to accomplish the information required.

Assessment mechanisms in student learning should be developed and coordinated and be ready in place with the academic

the research mission of the College. A similar position should be established providing support for the Faculty Assembly Executive Com-

7. We strongly recommend that the College systematically investigate the sizes of other university institutional research offices, determine appropriate staffing levels for William and Mary, and attempt to staff the Office of Institutional Research at a reasonable level.

8. The university should address seriously the need for university-wide access to centralized data bases maintained by the Office of Institutional Research.

9. The College must provide meaningful assistance to individuals and units in acquiring technology, in smoothly integrating its use into the everyday activities of all constituent groups, in training to ensure straightforward and universal accessibility, and in supporting day-to-day applications.

10. A closer cooperation between and among the Office of Institutional Research, the Computer Center, Technology Services, and the Office of Telecommunications to inventory available data and to create a readily-accessible, integrated, information network should be monitored by the Provost's Office.

### Institutional Effectiveness Supplement

We have seen the primary charge to this committee as evaluating the effectiveness of the College's planning, evaluation, and information gathering procedures. But as a result of interviews, reviews of documents, surveys, and meetings, a number of specific suggestions that bear on the institution's ability to fulfill its mission effectively were developed. We have categorized these suggestions according to the sections listed in the Southern Association's *Criteria For Accreditation* and followed by the committee assignments for the Self-Study and the Table of Contents of this overall report. We realize that we are making suggestions in areas already assigned to other Self-Study Committees and that we are responsible for examining the overall effectiveness of planning and assessment, not effectiveness at the level of specific university activities outside of planning and institutional research. However, we cannot resist making a few suggestions which, if followed, seem to us likely to increase effectiveness at William and Mary.

#### Faculty

a. Additional support is needed for faculty development including supplementary funds to support travel to international and domestic con-



ferences, continuing professional education activities of faculty, and similar ongoing needs.

b. A university-wide visiting scholars program should be established (competitively planned across the campus over a five-year lead time, to provide students and faculty access to top scholars at the international level for various fields).

c. Creation of research awards at the university level to complement the teaching awards presented on Charter Day and at Commencement would signal the university's concurrent interest in, and recognition of, research activities.

d. Consideration should be given to establishing centralized assistance in the hiring of full and part-time faculty and staff (including research assistant support), so that individual departments or faculty members do not have to serve as personnel departments.

### Instructional Support

a. Greater attention needs to be given to providing and maintaining equipment for the classrooms, including overhead projectors, interactive laser and computer technology, and so on. Technology Services should be empowered to purchase extra computers and presentation equipment to be used as "loaners" while presently-installed equipment is being repaired. Faculty cannot be expected to use instructional technology if the moment it breaks, there is a three-week wait for repair.

b. Consideration should be given to establishing a centralized office serving as a combination "temp agency" and institutional Fed Ex, staffed by work-study students to assist faculty members in photocopying class and research materials, delivering to campus offices such materials as printing, slides, stationery, and so forth [note that the service could include student "runners" to pick up and deliver resources from Swem, software libraries, and similar support units, as well as "specialists" to perform literature searches and download key information to disk for transmittal, thereby increasing the efficiency of faculty time].

c. The university should encourage peer review of course content, level, examination rigor, and pedagogy.

d. An integrative exchange of information is needed to ensure that campus-wide goals are met. For example, given the College of William and Mary's commitment to Freshman Seminars, there should be incentives created for all departments to be active in these offerings. Similarly, team-teach-

ing opportunities need to be supported through interdepartmental recognition of teaching loads. To gain participation by departments with high student loads, additional faculty lines will be essential. In addition, recognition should be extended in a more formal manner for contributions by those involved in independent study. The Office of Institutional Research should be proactive in gathering information to support such initiatives and to track the institution's investment in education. This can be important information to enhance legislators' and donors' support.

### Computer Resources and Services

a. In meeting the needs of individual faculty members, procurement procedures for acquisition of computers and technical equipment need to be specialized and red-tape minimized (the current lack of choice tied to state procurement practices is problematic). Problems of state-contract purchasing of technology equipment are numerous given that the federal government can permit employees to walk into CompUSA or similar suppliers and purchase directly, it would seem that the College of William and Mary could do the same.

b. Many, if not most, individual faculty machines have inadequate disk space and they occupy faculty time in archiving, deleting, and so on. Despite the low cost of additional memory resources available such as NAARS at the Library are not accessible to date from faculty offices and student labs in the School of Business and other schools that no doubt would find Nexis and Westlaw resources invaluable for research, teaching, and service activities.

c. Information availability is a priority for the faculty governance structure, for administrative activities, and administrators' plans, budgets, and evaluation processes as they evolve. The work provides a central clearing house for information. For example, studies of student performance, enrollment data on such things as enrollment trends, schedules, financial reports, audit reports, reports, government reports, program evaluation reports, and department reviews, and studies by others, including community members, Board of Visitors, government reports, and various publications) and should be readily retrievable by computer.

### Institutional Advancement

a. To minimize the effects of reduced state funding, increased private fund raising efforts, as well as improved communication with legislators as to the ill-effects of crisis

adequate contingency funds should be established to avoid short-term destruction of university initiatives resulting from loss of financial support at the state or even the federal level.

### Physical Resources

a. A more concerted effort needs to be made to improve the appearance and maintenance of classrooms, including cleanliness, equipment and accessibility.

### Some other suggestions

a. Deterrence of grade inflation by inclusion on the face of the transcript the number of students in the course and the mean/median (standard deviation) grade assigned to the class should be explored. An added benefit is improved information provided to evaluators of transcripts.

b. Tracking and reporting of performance measures is a key mechanism to ensure continual advancement; measures to consider include (much of this, we realize, is collected by schools and departments, but we mention these for emphasis):

Number of scholarly journals on which College of William and Mary faculty serve as editors

Dollars of outside funding obtained for research activities by both faculty and students at the College

Quality and quantity of research publications by faculty and students

Time elapsed from initial employment date to date faculty self report they have been promoted with the support system essential to their responsibilities

Percentage of students in faculty research projects with self-reporting of educational contributions tied to such activities

Effectiveness in later positions, as reported by themselves, recruiters, and other schools; criteria including

Correspondence of position to compensation or promotion expectations; employers' feedback [again, feedback can be ensured by

Completion on prior years' surveys of the school before the inter-annual survey for the current year can be

- Alumni attitudes, three years and five years after graduation, as to the effectiveness of their education and their suggestions for improvement

- Students' assessment of the quality of their education each year they are at the university, including tracking of their suggestions for improvement (entering students should be asked what they wish to accomplish in that year, and overall for their projected four-year experience, then at the end of the year, the student should be asked if those expectations have been met and what expectations they have for the coming year)

Note that any performance measure enacted must be accompanied by (a) a corresponding measure of institutional support for the activity, and (b) College financial support for the effort and time needed to gather the information required by the performance measure.

c. Commitment to continuous improvement through on-line evaluation of activities and once-per-semester formal reporting not only to the Board of Visitors but likewise to Faculty Assembly, faculty, students, and interested constituencies [this should explicitly require annual reporting to the College community on the status and disposition of all of the recommendations contained in the 1994 Self-Study].

d. A formal survey of legislators as to effectiveness of information provided by the College of William and Mary, clarity of mission and goals of the university, and suggestions for enhanced relations could be a useful tool for self-assessment and improvement.

e. A policy should be established of debriefing departing administrators, faculty, and staff, with a formal procedure ensuring that an independent party, higher in the organizational structure than the party to whom that individual reported conducts the debriefing; exit interviews permit continuous improvement, detection of problems at an earlier stage, and prevention of serious deterioration in an operation of the university tied to individual personalities or resource issues [with a similar objective, non-returning student surveys and exit interviews of student workers should also be required].

f. An annual survey is recommended, asking how faculty spend their time, including whether time spent on other than the primary mission efforts of teaching, research, and service seems

excessive, e.g., How much do faculty members have to know about other people's jobs in order to get their own jobs done? (e.g., purchasing of computer-related equipment); How much university service is really needed? (One idea behind creation of the Faculty Assembly was to **reduce** the number of committees needed. Has this happened? We do not believe such an effect has been observed to date, but would suggest future tracking to see if this intent is eventually achieved. How many committees are really necessary?); How much of departmental-level committee service is really needed? Do committees set policy, or have they merely assumed administrative tasks (e.g., checking Catalog copy, creating a department's course schedule, monitoring the use of space in departments, coordinating writing requirements and general education requirements or GERs, and meeting units' data base maintenance needs that would be more effectively discharged as specialized activities) that ought to be done by a non-faculty

member, or by the chair of a department? How much of the university's activities depend on hidden subsidies from faculty members, i.e., are opportunity costs or nonreimbursable expenditures by faculty effectively considered as demands made? Does the university faculty believe the College has responsibilities to the community beyond the campus walls? If so, how should these be identified, and supported? Do such activities make it more difficult, or less difficult, for the university to make its case for public support? [Such surveys can explore to what extent the university is perceived to assume that "experts are from out town?" Whether or not this is true, even the perception that it is true is bad for morale. Ideas of effective means to recognize and use the talents of long-term College faculty can be sought.] In the long-term College faculty can be sought.] In the long-term of the Strategic Planning Committee outreach there are likely to be questions for the future that should be developed during the implementation process.

## Chapter Three

# Undergraduate Program

**Martha M. Houle, Chair (Associate Professor of Modern Languages and Literatures)**

**Mary M. Voigt, Steering Committee Liaison (Associate Professor of Anthropology)**

**William T. Geary (Associate Professor of Business Administration)**

**Thomas L. Heacox (Associate Professor of English)**

**Gail McEachron-Hirsch (Assistant Professor of Education)**

**Amanda A. Perkins (Undergraduate)**

**Bridget R. Pool (Undergraduate)**

**Joel Schwartz (Associate Professor of Government; Director of Honors and Interdisciplinary Studies)**

**Marc Sher (Associate Professor of Physics)**

The four recommendations made by the 1984 Self-Study report on the Undergraduate Program bear on the curriculum, the status of adjunct faculty, policies regarding transfer students, and academic regulations. All four areas have been studied in the past ten years, and changes are at various stages in the process of refinement and implementation. Only the first however, because of its scope and long-term implications, will be addressed in this report. The other areas discussed here with the criteria for accreditation in mind include admission policies, degree requirements as they relate to the new curriculum, inter-collegiate programs and concentrations, and instructional issues.

### UNDERGRADUATE ADMISSION

The committee focused on the following areas: the building admission, the resources and staff provided for implementing policies, the quality of admitted students. We appreciate the cooperation of the staff of the Office of Undergraduate Admission who frequently with us and the President about the budget and operation of the office. In addition, this Committee reviewed a special report prepared at the request of President Sullivan by Acting Assistant Secretary A. Scott. The Report on Undergraduate Admission, *The College of William and Mary*, 1993.

The committee advanced that the Office of Undergraduate Admission has the primary job of admitting the students to the College of William and Mary. The Office of Undergraduate Admission at public universities in the United States has a specialized approach and the Office of Undergraduate Admission are important in the development of its work is par-

ticularly praiseworthy in view of its relatively small budget and staff by comparison with competing institutions, as found by Jean Scott in her *Report on Undergraduate Admission*.

The statement of "Policies Governing the Admission of Undergraduate Students to the College of William and Mary" was approved by the Board of Visitors on May 19, 1973, and revised on October 28, 1978. This statement does not mention race and ethnicity as areas targeted for recruitment and admission, although it does place value on students from "foreign countries" and expresses "a commitment to recognize and to try to meet the educational needs of members of minority groups." It no longer reflects the current aspirations of the College.

The policies guiding admission must therefore be renewed and clarified. The first recommendation in the *Report on Undergraduate Admission* states: "The admission office needs a clear statement of the nature of the class the College seeks to enroll. Policies and priorities must come from the highest levels of the administration." Issues of special importance to be included in formulating this statement are: the recruitment of students of outstanding academic ability and accomplishments; special attention to the recruitment of African-Americans, Asian-Americans, Hispanic-Americans and students from other under-represented groups; and the identification of geographical target areas (e.g., local, regional, national) including the recruitment of international students.

The *Interim Report of the Strategic Planning Committee* (March 1994) also addresses the need

to review the admission process. The report notes, "The College will continue to seek students with outstanding academic ability and accomplishments, special personal qualities, and diverse racial, ethnic, and socioeconomic backgrounds... [T]he student body at William and Mary does not yet reflect the diversity to which we aspire...." This committee affirms with the new report titled *Institutional Student Recruitment & Retention Plans* (approved by the Board of Visitors on May 14, 1994) that the overall excellence of the William and Mary student body must be measured not only in terms of SAT scores and class rank, but also in terms of its diversity: it must include, for example, women and men; persons of different racial, ethnic, cultural and geographical backgrounds; and persons of varying talents and abilities, whether artistic, scientific, or athletic. Diversity necessarily enriches the academic, social, and cultural dimensions of the College.

In its discussions with the members of the Office of Admission this Committee learned of the very limited staff and budgetary resources available for travel, programming, and recruiting. These limited resources immediately become an impediment when the College seeks to recruit students who initially may not be interested in William and Mary. Thus, in areas such as the recruitment of members of under-represented groups and international recruitment, resources are not adequate to support a strategy which is both active and competitive.

In addition to recruiting, the College must enable the success of students we admit by providing appropriate curricula (such as courses in English as a Second Language); financial aid; academic support; and orientation, advising and mentoring structures. Collectively, these initiatives increase the retention and graduation rates of admitted students and increase the diversity of the applicant pool of the College. The relationships between recruiting, curricula, financial aid, and support are perhaps most clearly demonstrated in the cases of African-American students and Monroe Scholars --entering freshmen so designated for their academic accomplishments and promise.

This Committee would also like to call attention to the Office of Admission's publications program. At present, the College's Publications Office finances and produces all of the College's admission materials. Since the Office of Admission does not have its own publications budget, it has no structured incentive to prioritize publications needs, and no vehicle to engage in short and long range

planning. The Office of Admission needs a comprehensive publications program, and the first step toward accomplishing this is to give the Office an adequate publications budget, and to give the Dean of Admission control over its administration.

### Recommendations for Student Admission

1. The statement of policies governing the admission of undergraduate students to the College must be revised to affirm the College's commitment to the recruitment of students of outstanding academic ability and accomplishments; and underscore the importance of creating a diverse student body, defined in terms of race and ethnicity as well as "a rich diversity of background and talent."

2. The Office of Admission must be provided with an adequate staff and operating budget to implement effectively the admission policies of the College. The Office of Admission should be provided with more editorial control, and greater control and flexibility in expending publications monies.

3. The Office of Admission should be regularly assessed to determine both the feasibility of strategies and the effectiveness of their implementation. A major assessment by the Office of the Provost in consultation with the Admission Committee should probably occur no less often than every five years, in addition to the existing annual reports.

4. A task force should be formed immediately to study ways in which the College can increase enrollment and retention of students who are members of under-represented racial, ethnic, and cultural groups. This task force must simultaneously consider issues of recruitment, financial aid, orientation, support services, and curriculum, and make its recommendations on the freshman year.

## II. UNDERGRADUATE PROGRAMS

### The Processes of Curriculum Evaluation and Renewal: New Developments Since the 1984 Self-Study

While the 1984 Self-Study reported a high level of satisfaction with the undergraduate curriculum at the College, it also recommended that the Dean of the Faculty of Arts and Sciences initiate a process of curriculum evaluation and renewal. In particular, the 1984 document recommended that the Dean immediately initiate a study to determine whether "new curricular and instructional modes" might better fulfill the goal of a liberal education" (p. 29). It went on to

that the Dean should "initiate a comprehensive review of the curriculum at some time in the next decade" (p. 29). This recommendation was seconded in the formal "response" document prepared by the Southern Association of Colleges and Schools (SACS) review team (p. 17-18).

We are pleased to report that the College has effectively addressed these concerns in the period since the last Self-Study. In particular, the College has initiated an institution-wide outcomes assessment program, and the Arts and Sciences faculty has passed a new undergraduate curriculum. These developments are detailed below.

### Student Outcomes Assessment (SOA)

Mandated by the Commonwealth of Virginia, a systematic SOA program has been functioning at William and Mary since 1988. This program is overseen by a thirteen-person Assessment Steering Committee that is chaired by a senior member of the Arts and Sciences faculty and supported by a full-time Assessment Coordinator.

Between 1988 and 1993, twenty department assessments (at the rate of five per year) have taken place. In 1993-94 interdisciplinary programs are being assessed. Among other techniques, departments have conducted transcript analyses, given national standardized tests to graduating students, surveyed seniors and alumni, and invited external consultants to examine both the overall curricula and portfolios of the written work of students. The Dean prepares detailed comments on the final reports.

During this same period, almost fifty faculty members drawn from the Faculty of Arts and Sciences and the Schools of Business and Education (about one eighth of all faculty), have been assigned in efforts to assess the general education curriculum. This group has used transcript analyses to assess critical thinking and writing skills (senior classes of 1989 and 1990); conducted student and alumni focus groups on general education issues (1990); measured student self-assessments of general education skills and knowledge (senior and sophomore class of 1993); and interviewed graduating classes of 1965, 1975, and 1985 about how their college experience related to their career development. The group also administered a broad "cultural awareness" survey to alumni who returned to campus in part to gauge the extent to which the College was staying abreast of public affairs

and other cultural developments after graduation.

As a result of these studies, we now have far more data than ever before on curricular experiences and outcomes. Based on subjective and objective measures, we have identified a large number of strengths in the current undergraduate curriculum. William and Mary seniors report higher ratings overall for general skills and knowledge than do sophomores. Gender differences in the sophomore year (e.g., lower confidence among women) diminish by the senior year, with women gaining confidence in their general skills and knowledge. Seniors also report that more of their classes involve significant writing and class discussion. Finally, all students report that more than half of their professors provide assistance outside the classroom.

But weaknesses have been exposed as well. For example, alumni identify natural sciences and/or oral communication as areas in which they were inadequately prepared by the general education requirements, and the historical knowledge test reveals that natural science majors and women have significant gaps in their historical knowledge relative to other groups of students. Finally, transcript analyses show that many students, absent formal requirements, avoid courses in non-Western cultural studies and in creative and performing arts.

The new curriculum is in part the faculty's response to the findings of department and general education assessments.

### The Old and New Curricula

The College's old curriculum will remain in effect until approximately the Fall of 1996, when we estimate that resources will be in place to implement the new curriculum. The one major exception is the new freshman seminar requirement, which went into effect in the Fall of 1994.

The "old" curriculum has an unstructured quality that reflects the curricular thinking of the 1960s. It contains freshman writing and foreign language proficiency requirements, and it divides departments into three "areas" (humanities, social sciences, and natural sciences). Students are required to take three courses in two of these areas and five in the third, with the restriction that the five-course area not be the area in which the student's concentration lies. Departments are, for the most part, free to designate which of their courses meet these distribution requirements, and most freshman and sophomore courses are so designated. Within the prescribed three areas,



students are free to decide which of these designated courses to take.

While this system maximizes student flexibility and departmental autonomy, it is grounded on at least three mistaken assumptions. First, it assumes that the knowledge and skills that the faculty wants to impart to its students are captured by a single tripartite classification system. Even a cursory glance at our Statement of Purpose makes it clear that this is not the case. Second, it assumes that almost two dozen departments are neatly divisible into these three categories (as though history, for instance, were unambiguously a social science, and mathematics a natural science). Finally, it assumes that individual departments have sufficient internal homogeneity that "area" courses in a single department are all interchangeable (that, for instance, because a course on Survey Research Methods and a course on Greek Political Philosophy are both taught in the Government Department, they should *ipso facto* be interchangeable for the purposes of meeting general education requirements).

Given these problems, the potential for general education assessment is highly limited. At a minimum, assessment requires an explicit understanding of goals and of how curricular structures are intended to achieve these goals: the general education component of our old curriculum lacks both of these necessary ingredients. Consider historical knowledge. Our articulated goals and objectives say history is a crucial part of a liberal education; our old curriculum does not require history; our assessment program administers a historical knowledge test to seniors and discovers that natural science majors who have had little exposure to history do not do very well; there is little faculty discussion and less agreement about what policy decision should follow from such a finding. The first point, of course, is that there is no general education curriculum in the area of history the effectiveness of which we can assess. The second point is that the SOA committee, not being linked to the faculty's policy making committees, does not make the policy decisions that should grow out of SOA findings. That could only be the job of the Educational Policy Committee, but there is no structural link between the two committees. Put generally, there can be no systematic assessment of our general education curriculum as long as that curriculum is so unsystematically connected with our official statements of goals and objectives, and as long as the assessment and policy committees are not structurally related.

The high degree of department, and even instructor, autonomy in the old curriculum has been both the cause and consequence of faculty fragmentation at William and Mary. Before 1990, the irony was that the faculty had been able to articulate common goals (in the Mission Statement and the Statement of General Education Goals and Objectives), but it lacked a vehicle for the implementation of those goals. The curriculum review begun that year provided this vehicle.

While the new curriculum leaves the system's concentrations largely intact, it is premised on a new approach to general education. To begin with it adds computing to the existing writing and foreign language proficiencies required for graduation; it requires freshman seminars in an effort to shape students' learning styles and to improve their communication skills at the outset of the college years; and it calls for upper-level undergraduate research experiences in an attempt to transform students from consumers into producers of knowledge. At the heart of the new curriculum, however, is a system of seven General Education Requirements (GERs), including:

1. Mathematics and Quantitative Reasoning (one course)
2. Natural Sciences (two courses, one biological and one physical, with at least one having a laboratory component)
3. Social Sciences (two courses)
4. World Cultures and History (three courses, one in a European tradition, one in a non-European tradition, and one elective)
5. Literature and History of the Arts (one course)
6. Creative and Performing Arts (2 credit hours)
7. Philosophical, Religious and Social Thought (one course)

In the faculty's judgment, these GERs capture the College's articulated educational objectives and do so in a way that intrudes as little as possible into the elective component of the student's curriculum.

In this new system the department in which a course is given and the "area" in which the requirement has been placed are no longer the defining factors of which requirement, if any, a student will fulfill. Instead, each GER is defined in terms of knowledge, skills, and/or experiences

those courses that achieve these targeted objectives will be permitted to meet the requirement. For instance, interdisciplinary courses, which have had only a limited role in the old curriculum, can now meet general education requirements. In addition, different courses in a single department may now meet different GERs. Thus, Survey Research Methods and Greek Political Philosophy, the two Government courses mentioned above, might now meet GERs 3 and 7, respectively. Finally, it is possible for a single course to simultaneously meet two GERs. An example of a "multiple use" course might be The Art of China, which might fulfill both GERs 4 and 5 because it embeds the study of art in a significant appreciation of culture and history.

This new curriculum was born out of the intense faculty interaction that was kindled by the curriculum review. The review took 3 years in all, and it involved more than 70 faculty members and students serving on more than a dozen committees and subcommittees. The final document was debated at no fewer than 10 plenary meetings of the Arts and Sciences faculty between the Spring of 1992 and the Spring of 1993.

Taken together, the new curriculum and the formal outcomes assessment program go far beyond fulfilling the recommendations made in the 1984 Self-Study. Instead of just reviewing the curriculum as recommended, the faculty has both renovated the curriculum and initiated an institutionalized mechanism with which to perpetually evaluate its effectiveness.

However, while the SOA program provides indispensable data on the effectiveness of the curriculum, we do not yet have a well developed system for ensuring that appropriate changes will be made in response to the problems that assessment uncovers. At the end of each unit undergoing assessment completes a report and submits it to the Director of Assessment, who then forwards it to the Dean; there is no required "follow up" process.

#### Recommendations for Ongoing Assessment

Curriculum undergoing assessment should be required to include in its final report a detailed analysis of the problems uncovered in assessment and to propose an appropriate timetable, to be approved by the Dean, to remedy these problems.

Where appropriate, should propose necessary changes.

#### Interdisciplinary Programs

Since the 1984 Self-Study, the most visible programmatic innovations at the College of William and Mary have been in the area of interdisciplinary studies. Such programs bring faculty together across departments in productive ways, and often generate faculty research projects, as well as meet student interest and College needs. However, they are more fragile than department-based programs for two reasons: first, the faculty involved must continually redefine and adapt them according to changes in their disciplines, their individual specializations, and departmental hires; and second, they rely heavily on administrative coordination and support to exist and continue. It is in recognition of this fragility that interdisciplinary programs have been given institutional homes in the past ten years.

However, the danger in all "institutionalized" interdisciplinary programs is that, often lacking direct oversight by faculty members in the disciplines, they become stale and outdated. Extensive and regular reviews of the programs by faculty members in the appropriate disciplines are therefore essential. The Environmental Science and Comparative Literature programs, for example, had not been reviewed for over 10 and 20 years, respectively, until this year. Small area-specific faculty committees, such as exists for Medieval-Renaissance Studies, can provide the responsiveness which is indispensable to maintain vital and viable programs.

Another organizational difficulty arises for interdisciplinary concentration advisers: unless they are directly involved in overseeing the programs concerned, they are not always in a position to implement curricular changes in their advising activities, nor can they transmit student concerns effectively to the larger administrative body. In addition, rules and policies can be more ambiguous and confusing than for departmentally-based concentrations, and greater effort needs to be made to publish them both for students and their advisers. Finally, students would perhaps make greater use of the self-designed concentration option if they were more aware of the possibilities it offers. Students' ideas may then in turn generate faculty interest in further program development.

#### The Charles Center for Honors and Interdisciplinary Studies

A Commonwealth of Virginia Funds for Excellence grant enabled the College to institutionalize the Center for Honors and Interdisciplinary Studies, which was conceived in 1985, and later