

initiated in 1994, and the Director is currently working to revise the campus Emergency Plan. While fewer than ten campus police departments in the nation have sought and received accreditation, the William and Mary Department has revised its policies and procedures to be more in-line with current certification criteria and standards.

Current goals for the Department include improvements in its computer networking and software, and development/implementation of a formal bicycle-theft prevention plan. The major problem identified in the "Annual Report for 1994" is the Department's lack of space --currently, two College-owned trailers are used for storage and a third trailer, which is rented, is home to the Investigations and Crime Prevention units.

Inadequate space and outdated computer resources will continue to be problems for the Campus Police as documentation and reporting of campus crime information is mandated by new federal regulations, such as the Crime Awareness and Campus Security Act. Accordingly, to maintain the quality of the Campus Police Department and not compromise its ability to serve the campus community, the Committee recommends that issues of inadequate space and outdated computer resources be addressed more directly in the College's facilities planning efforts.

The location of the Police Station on the southeast edge of campus holds both advantages and disadvantages. While this location permits officers easy access to the primary boundary thoroughways of Richmond and Jamestown Roads, it is somewhat distant from the majority of student residences. To facilitate student access to police resources, we recommend the university consider establishing a Campus Information and Service Office in the University Center (or some other central location).

### 5. Master Plans

Master plans should be formulated as interactive processes to address the immediate and longer term future needs of the College as reflected in its physical resources. In this sense a master plan should logically function to define, develop, and formalize the needs considered and identified through the dialogue of the Self-Study and other planning groups. The master plan should recognize the historical and aesthetic context in which future development will occur as well as demonstrate sensitivity to environmental and community issues. Above all, the master plan must recognize that the interaction of students, faculty,

staff, administration, and others is critically affected by the character of the campuses.

#### a. Main campus

In 1986 a master plan was initiated with a consultant using input from students, administration and faculty. Recommendations of this plan were subsequently published, although technically the report was poorly referenced and did not provide a map of many physical structures. Some of the recommendations have been followed, while others have not.

One recommendation that was followed included acquiring and holding small properties around the margin of the campus such as Jamestown Road for the purpose of maintaining historical "ambiance" and providing a buffer to development. Blow Gymnasium was renovated with the creation of modern classroom and meeting room facilities, office and administrative space. A centrally-located student center was completed. These properties used as dormitories are now being renovated as required and others have been used as administrative offices. Acquisition of additional land on the west side of Lake Matoaka to consolidate control and prevent undesirable development and watershed deterioration was recommended. With the designation of Lake Matoaka and the College Woods as a preservation area by the Board of Visitors, the College should aggressively continue active negotiations with the City of Williamsburg in an effort to secure the one remaining large parcel of land (Berkeley School property) owned by the city.

The master plan also noted that the Ludwell student housing facility, which is leased, has deteriorated considerably and must be dealt with in the near future to insure adequate housing conditions are maintained. The Dillard housing complex was viewed as too far from the main campus to be preferred student housing. The administration anticipates major renovation costs associated with the Ludwell facility. A major road planned to bisect the campus has been dropped from the master plan to keep the sense of campus isolation. Major dormitory construction adjacent to the lake is no longer permitted because of recognition of Lake Matoaka/College Woods' unique value and state of deterioration.

Updating of the 1986 master plan is automatically scheduled to begin in 1995. Capital outlay planning is driven by a state mandated schedule which requires periodic review of construction needs. A comprehensive redefinition of the existing

master plan is probably not needed because major capital outlay projects are not anticipated given recent and current construction, state budget limitations, projected space requirements, and pressing renovation/upgrades for dormitories. Anticipated construction activities therefore focus on modification of existing facilities and include the Alumni House, expansion of the Law School, the Library, expansion/renovation of science buildings for both safety purposes and facility upgrading, and renovations required for further compliance with ADA requirements. A facilities building will be formed by addition of a two story structure to the existing building. This will consolidate purchasing, capital outlay, facilities management and provide important storage space. Lack of funding precludes a new addition to James Blair Hall, and Tercentenary Hall is now under construction. The College will also continue its program of upgrading utilities including electrical, steam and sewage pipes. Perhaps the greatest challenge facing the College will be to create and channel in-house funds to meet the demands for these projects without adversely affecting existing programs.

It is recommended that the College approach the master plan issue from the perspective of redefining the existing plan using in-house expertise, thereby saving perhaps \$75-100K in consultant fees. The redefined master plan should reflect environmental concerns regarding development adjacent to Lake Matoaka and College Woods preservation area and watershed, as well as feature updated and well-referenced maps for all campuses.

#### b. Gloucester Point campus

The SMS/VIMS campus has recently completed a master plan. The plan was formulated through the efforts of a Master Plan Committee composed of faculty, staff and administrators and developed using an outside consultant. One result was the decision to relocate State Road 1208 such that the campus, including the new laboratory building, will become more pedestrian-oriented and isolated from local traffic than at present. Recommendations for acquisition of land at selected locations for future expansion were also delineated.

#### Summary of Recommendations

1. The administration should consider extending the team/zone concept to the custodial staffs by initiating the reclassification process implemented for maintenance workers.
2. Well before the next Self-Study, databases

and supporting software should be in place to expedite various maintenance tasks, including time keeping, inventories, equipment and supply acquisition, fund recoveries, building equipment histories and construction documents, preventive maintenance scheduling, and work orders. Facilities Management should provide terminals or computers in each of the zones with capabilities to access relevant programs and data.

3. The Committee encourages the College community to support Zarathustra's coffeehouse as an alternative to alcohol-oriented gathering places.

4. Emphasis from 1994 through the year 2000 should be on renovation, upgrading classroom interiors, and expansion of existing facilities, including the Swem Library, the Law School, science buildings, Facilities Management building, and the School of Marine Science.

5. Use of a dedicated and experienced project engineer in combination with a project committee of faculty and staff should be a mandatory component of the College's construction process.

6. Residence halls are especially in need of renovation owing to a combination of age and sometimes abuse or neglect.

7. Students should have a system that allows them to effectively communicate maintenance needs to Facilities Management and to receive feedback.

8. A handbook of residential and environmental concerns should be written and given to all students as they enter the university.

9. To provide guidance, control chronic violators, and increase student accountability in residence halls, the Committee recommends use of significant damage deposits, peer-imposed fines, and, in extreme cases, eviction, prevention of offenders from registering or graduating, and possible use of adults as residential staff.

10. The administration should determine as soon as possible whether it is cost effective to renovate and upgrade Ludwell Apartments, as well as the likelihood of that option being performed by the owner.

11. Plans for renovation of existing structures must address lead paint abatement and estimated costs as soon as possible.

12. A facility dedicated as a residence hall on the School of Marine Science campus would be

beneficial to both research and educational programs as well as attracting visiting scientists who wish to stay for short periods of time.

13. Facilities Management must be represented in the budget planning process so maintenance needs can be addressed in a coherent fashion for all College facilities.

14. A formal and effective building "proctor system" should be implemented, with the proctor serving as the key representative for each facility through which all maintenance requests are forwarded to Facilities Maintenance.

15. The College must take immediate steps to improve the workplace through employee training, especially for use of more demanding technology, and job opportunity and growth. Funds must be allocated to train current personnel to meet the technical demands of new buildings and upgraded equipment.

16. The administration's plans to identify motor pool needs, usage demands, scheduling, and replacement of older vehicles should be undertaken as soon as possible.

17. Facilities Management representatives and the faculty Landscape, Environment and Energy Committee should meet to discuss and address troublesome or problematic areas and to develop a plan for their resolution.

18. Approaches to encourage responsible use and pride in the appearance of the grounds and plantings on campus should be fostered, including educational campaigns and production and distribution to students of an environmental handbook explaining the environmentally-detrimental aspects of plant and landscape damage.

19. The cross-campus roadway now identified in the existing master plan should be eliminated.

20. There should be a formal evaluation of the Lake Matoaka dam and roadway (Jamestown Road) by the Virginia Department of Transportation.

21. Wherever possible, highly erodible areas should be blocked to traffic using plantings or physical barriers, and walkways modified to prevent them from being used for vehicle access.

22. The Committee supports the recommendation of the Matoaka Task Force that mountain bikes should be excluded from areas around the Lake, or at least restricted to improved surfaces.

23. Careful monitoring and maintenance of the grounds (mulching and other practices) should be implemented to preserve the forest in the area of the Matoaka amphitheater.

24. To maintain the quality of the Campus Police Department, the Committee recommends that issues of inadequate space and outdated computer resources be addressed more directly in the College's facilities planning efforts.

25. To facilitate student access to police resources, we recommend the university consider establishing a Campus Information and Service Office in the University Center or some other central location.

26. The College should aggressively continue active negotiations with the City of Williamsburg in an effort to secure the one remaining large parcel of land owned by the city (i.e., Berkeley School property).

27. The College should approach the master plan issue from the perspective of redefining the existing plan using in-house expertise, thereby saving perhaps \$75-100 thousand in consulting fees.

## Chapter Sixteen

# Externally Funded Grants and Contracts

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### Preamble 1: The Value of Research and Scholarship to William and Mary

Central to the educational and civic missions of the modern university is the creation of new knowledge and understanding. Scholarly publications, papers and presentations given at academic conferences, editorships, basic and applied research in the sciences, and public exhibitions of the fine and performing arts are a large part of what forges a university's reputation both in the academic world and within the larger public sphere. For the expert scholar not only contributes to the overall excellence of his or her discipline, including the ways in which that discipline is taught in schools and colleges throughout the country, but also contributes to the wider perception of our local, state, and national communities as to what constitutes that discipline, and what makes it valuable.

The immediate benefits of faculty scholarship to William and Mary's instructional program are considerable. The active scholar is best suited to impart a sense of excitement and discovery to students, and is most apt to present information and modes of inquiry that are at the forefront of his or her discipline. Moreover, the teacher engaged in scholarship supplies a role model for the student who is asked not only to acquire the rudiments of a discipline, but to think creatively in an academic field.

The importance of a scholarly-active faculty is still more apparent in light of the needs of the College's graduate students. Participation by graduate students in the research enterprise is, quite simply, an intrinsic part of the educational

process. Finally, when a graduate student applies for jobs --or when an undergraduate applies for admission to graduate programs and for competitive fellowships-- it is the active scholar, with an established reputation, who is best able to write authoritative recommendations. Indeed, the reputation of the active scholar enhances that of the department as a whole, and bolsters its credibility in all academic enterprises.

External funding brought in by research development, and training grants and contracts, provides material as well as intellectual benefits to students. Such funding provides a means of graduate student financial support --mainly in the sciences, but also in the social sciences and the humanities. Externally funded grants and contracts also provide employment for undergraduate work-study students as research assistants. In the School of Education, such funding also supports graduate recruitment efforts, teacher preparation, and service to schools.

Finally, externally funded grants and contracts provide direct financial benefits to the institution and to all its faculty. Most notably the program of semester research awards and summer research grants is primarily funded by indirect costs earned from external grants and contracts. Other campus budgets are also supported by indirect costs, and some items purchased directly by research grant funds may enjoy co-use in instructional and other programs, while the presence of some valuable scholars on campus is, at least, partly financed directly from research grants.

Given the intrinsic importance of research to William and Mary's mission, we recommend initiatives based upon the necessity for a research infrastructure, the need for competitiveness in the grant-acquiring process, and the value of the culture for research in the next three sections.<sup>1</sup>

### Preamble 2: The Value of Research to the Wider Community

Academics tend to see research as being justified purely in its own terms, and in one sense the pursuit of knowledge for its own sake is the hallmark of any civilized society. However, with tight budgets and diverse priorities it is important to underscore the importance of research to the wider society, so that the public can get a clearer idea of its relevance to their own concerns. There are many indirect cultural and social benefits of research, but the public are inclined to focus on the commercial benefits of research above all others.

Economists and political scientists have done a great deal of work on the determinants of economic growth and productivity in recent years. The question as to why some nations have high growth and productivity and others have low growth has been at the forefront of much academic analysis. There are of course debates and controversies, but there is also a broad consensus around the proposition that investment in "human capital," plays a decisive role in explaining economic prosperity. For example Porter, in his seminal study *The Competitive Advantage of Nations* (Macmillan, 1990), writes:

There is little doubt from our research that education and training are decisive in national competitive advantage. The nations we studied that invest most heavily in education (Germany, Japan, and Korea) had advantages in many industries that could be traced in part to human resources. What is even more telling is that in every nation, those industries that were most competitive were often those where specialized investment in education and training had been unusually great. Education and

training constitute perhaps the single greatest long-term leverage point available to all levels of government in upgrading industry. (p. 628)

At first sight this appears to be a strong argument for investment in education, but not necessarily for investment in research. But this would be a misreading of the argument, for the following reasons.

First, those nations with high levels of educational investment also have an impressive record of support for investment in research and development. In other words investment in research is part and parcel of investment in education, not an alternative to it.

Second, to suppose that educational investment can be separated from research is to argue that education can take place without innovation --in effect the proposition that the transmission of received wisdom will prepare students for a rapidly changing competitive climate in the modern world. Since growth and productivity are synonymous with innovation in all aspects of the economy, it would be truly surprising if education were an exception to this.

Finally, government promotion of research -- particularly in a university setting-- offers a number of direct benefits in stimulation, productivity, and economic growth. First, new groups of scientists --and their associated technologies-- are trained in state-of-the-art problem solving as natural by-products of conducting research; these skills are directly transferable into an industrial and commercial setting. Second, the diffusion of innovation is enhanced by the relatively open atmosphere of a university. The rapid innovation associate with the information technology industry, for example, has been made possible by the fact that much of the development work in this area takes place in universities, or in research institutes with a university ethos. Third, university research is a fertile incubator of new businesses as professors and students see ideas with commercial potential; the growth of science parks across the

1. Currently, 30% of indirect costs are, by law, retained in Richmond in lieu of state-financed budgetary items. The remaining 70% (which amounted to about \$829,000 in 1992-93) is retained in the College budget and, historically, has been split according to the following formula: 35% to the "Research Budget"; 17.5% to the President's discretionary fund, which has, historically, been used for research-related costs such as contributing to the annual cost of the Grants Office (it supplies about \$95,000 of the Office's \$250,000 annual budget); and 17.5% to the departmental budget of the generating principal investigator. The latter 17.5% is used by departments in a variety of ways, in some cases without the control of the principal investigator.

The research budget of the College is supplemented by an annual allocation of private funds by the Board of Visitors. This allocation has remained constant at \$300,000 for several years.

country attests to this fact.

In recent years some universities have been criticized for giving too high a priority to research at the expense of teaching, a criticism which may have validity in some cases. Fortunately, this is not a criticism which can be made of William and Mary. But there is an equal opposite danger of an institution giving too much emphasis to teaching at the expense of research.

It is reasonable that some institutions in higher education should define their mission as purely one of teaching rather than one of research. But it is important to realize that these institutions and their students depend upon the efforts of others, like William and Mary, who have a mission to pursue excellence in both teaching and research. Since today's journal articles are the raw material for tomorrow's textbooks, institutions which discount research are receiving, in effect, unearned income transfers from those institutions which invest in research.

The danger is that when budgets are tight and other priorities are pressing, decision-makers will be tempted to underfund research specifically in order to free-ride in this way. While such policies may bring short-term benefits, they are likely to impoverish educational standards for all institutions in the long run. It also seems very likely that particular institutions which have previously had a research tradition --and which neglect it-- will face problems of maintaining educational standards. A declining commitment to research will produce an exodus of research staff, a problem of recruitment in junior positions, an increasing problem of outdated courses, discontented graduate students, and a declining educational infrastructure. It would be most surprising if such problems did not, in turn, spill over into undergraduate education.

In summary, research plays a fundamentally important role in stimulating productivity, innovation, and growth in the economy, which in turn provides the jobs and the tax base for the future. The standard of living and the welfare of the community are inextricably linked to the support which society gives to research, broadly defined. Cutting investment in research may be an attractive short-term option, but it is really a policy of consuming the seed-corn. At a time when there are loud calls for such cuts in some circles, it is incumbent on those of us in higher education to defend research as being a key component of educational investment. If we do not defend it, nobody else will.

### I. Investment in Research Infrastructure

The services, resources, and environment that the institution provides to assist the scholar in proposing, carrying out, and reporting upon (funded or unfunded) research and development activities constitute the campus infrastructure for research. Infrastructure can be common-access or individualized, but it should be "user-friendly," should save faculty time and enhance a faculty member's productivity; examples are described below. Currently the William and Mary research infrastructure in most units is perceived as sub-minimal, yet there are numerous opportunities to improve it, thereby freeing up faculty time for more productive activities. Even expensive investments in infrastructure would likely pay for themselves either directly in a short period of time or indirectly over a longer period. Such investments should have a high institutional priority. Indirect cost funds provided in grants and contracts are implicitly intended to pay for infrastructure necessary for an investigator to carry out proposed research. Currently, no funds are specifically earmarked for investment in infrastructure (other than limited continuing support of the campus Grants Office), though they support several worthy causes. If necessary, a portion of these funds should be redirected toward vital, or high pay-off infrastructural investments. The institution would benefit from further investments, however, and productive current uses of indirect cost recoveries should not be interrupted.

In addition to the value to all existing scholarly-active faculty, the value of research infrastructure in the recruitment of future faculty cannot be over-emphasized. Often the recruitment of the very best young faculty hinges upon the environment that is available to them. Furthermore, William and Mary should not only expect its faculty members to succeed in research to the best of their ability, but the institution should assist, to the best of its ability, in the achievement of that success.

Some examples of specific types of infrastructure in which there are opportunities for cost-effective investment are given below. The list is surely not exhaustive.

#### A. Human Resource Support

In all phases of the research process there are opportunities to effectively substitute much lower cost time for valuable faculty time. In addition to the obvious benefits, this may allow scholars to extend their activities (including externally-funded activities) beyond what could otherwise be ac-

complished. Certainly there have been instances of externally funded opportunities that faculty were not able to pursue due to other pressing activities. The most obvious example in the category of human resources is secretarial support. But research assistants, student workers, and graders would all be cost-effective investments. Released teaching time for grant preparation in instances of unusual opportunity may also be of value.

### B. Campus Facilities and Offices

The campus-wide environment, from space needs to postal services to computer support, should be conducive to research activity. Decisions about a variety of campus agencies should bear this in mind. Two specific and inexpensive opportunities are the following:

1. There should be an on-line campus-wide data base that would provide not only institutional information for proposal preparation, but also easily updated faculty CV information. The latter could be accessed on a "need-to-know" basis for the variety of current one-at-a-time needs that consume considerable faculty time. This could probably be established by a supervised graduate student. This has been achieved at the School of Marine Science.

2. The sponsored research and development activities at both the main campus and the School of Marine Science should be expanded to provide certain time-saving services, and possibly, proposal preparation services, as often provided at other institutions.

### C. Initiation Funds for Research Activities

In several domains, prior investment in preparation is necessary in the competition for external resources. Travel funds to meet with agency representatives, laboratory start-up resources in the sciences, and special library materials may all be prerequisites for successful proposals.

With a better infrastructure, principal investigators will be able to concentrate more upon substantive aspects of proposals and research rather than administrative details.

Some investments in infrastructure might be carried out campus-wide, but others might best be decentralized so that those closest to the needs can optimally use limited resources. Decentralized allocation could be implemented either by a change in return of indirect cost arrangements in favor of principal investigators or by a regular allocation to faculty judged scholarly active by a simple test. A

combination of both should be undertaken. These funds should be saved and/or pooled by groups of researchers to optimally achieve goals.

Support from the Virginia Higher Education Equipment Trust Fund has been particularly important for infrastructure. Particular attention should be given to research support needs in allocation decisions.

## II. Competitiveness in Grantsmanship

In recent years, federal, state, and private funds available to support basic research in universities have become increasingly scarce and difficult to obtain. Nowhere is this problem more keenly felt than by young faculty who sometimes find it impossible to break into the inner shell of a funding agency. For example, "new starts" in many areas of science often account for less than 2% of an agency's annual funding. In light of these difficulties, William and Mary must adopt an especially aggressive attitude in helping new and continuing faculty secure support when such is required to meet their research needs.

It is obvious that a faculty member must know where to ask for funding and how to present the strongest case possible to convince the agency that his/her project or idea is worthy of support. Several areas in which specific action on the part of the University could assist faculty to obtain external support include:

- **Local start-up funds:** Research start-up funds were mentioned in the prior section, but they are also a key ingredient in the competition for external resources. Such funds have been very limited at William and Mary, and, compared to other peer institutions, often embarrassingly so. We must find a way to meet these needs at the university level.
- **Cost-sharing:** Many agencies now require the principal investigator to secure an agreement for some type of cost-sharing (on the part of the university) should the proposed scholarly work be funded. The university should enthusiastically endorse such cost-sharing requests at the outset, even to the extent that an apparent over-commitment of available funds is made. Typically, any apparent over-commitment of funding will be offset by the simple fact that not all grants are funded.
- **Indirect cost recovery:** The indirect costs for externally sponsored research are dis-

cussed elsewhere. We simply point out here that the negotiated rate is the maximum allowable rate. One way to help initiate research programs is to be flexible with the use of recovered funds. For example, any proposal deemed to be a "new start" could have all, or perhaps a time-dependent, variable fraction, of the overhead returned to the principal investigator for the first few years that an award is in place. It should be emphasized that granting agencies have a fixed budget and a "bottom line" mentality: larger indirect costs imply smaller funds available for performing the contracted research.

- **Negotiation and flexibility:** The future will belong to those who can develop the intellectually best proposal and negotiate the best financial arrangement with sponsoring agencies. The faculty must do the former and the administration must help with the latter. William and Mary has exhibited limited flexibility in the area of grant negotiation in the past; this should change. For example, there are cases when a voluntary match for some of the individual costs would assure a competitive proposal.

- **Large grant initiatives:** Many federal and state agencies are promoting cross-discipline, broad-based research projects that may involve not only an eclectic collection of university faculty, but investigators from government, private sectors and other academic institutions as well. William and Mary now has no lead person with responsibility for coordinating such opportunities. (The present Dean of Graduate Studies for Arts and Sciences has done an admirable job of ad hoc matchmaking when possible.) The need for a concentrated effort in this area supports the notion that William and Mary should have an administrative faculty person in the area of sponsored research.

Although externally funded research provides important institutional benefits, opportunities for sponsored research and development vary widely by discipline, and all faculty research effort should be valued to the extent of its intrinsic merit.

## III. Enhancing the Culture for Research at William and Mary

The institution should make every effort to stimulate and facilitate high quality scholarly activity at William and Mary. Active scholars on campus agree on the ethic that research is not a

substitute for teaching but, rather, a prime means of its enhancement. Thus, placement of greater institutional value on research will not come at the expense of the College's educational mission, but rather will enable us to do better that for which we are best known.

Among the signs of an insufficient institutional commitment to research are the following:

1. There is no high level administrative position whose primary function is to advocate the value of research to William and Mary.

2. Glaringly, there have been recent examples of outstanding potential hires in the sciences who have not come or have left because the institution was unable to provide adequate laboratory start-up facilities. Among less overt reflections of a lukewarm climate for research are the general shortage of institutional resources to facilitate faculty research (other than salary enhancements) and the general perception of an "on your own" attitude toward research by the institution. In any event the institution would benefit from a more aggressive commitment to research.

It cannot be expected that institutional values will change abruptly, but we feel that a number of strategies will move us in the right direction:

1. Institutional pronouncements (speeches by key officials, university literature, public information initiatives, etc.) should contain reminders of the value of high quality research and scholarship to William and Mary.

2. An institutional public relations brochure highlighting a wide variety of faculty research should be prepared and periodically updated.

3. In addition to the Phi Beta Kappa "Award for the Advancement of Scholarship," a second annual research-based faculty award should be instituted.

4. A high level administrative position, with appropriate title, should be dedicated to research on campus. The incumbent may oversee the Office of Grants and Research Administration and might help coordinate large scale research endeavors, but should definitely be an outspoken advocate for research on campus and be responsible for publicizing funding opportunities to the faculty. It is possible that such a position could pay for itself in the long-run.

5. Material improvements along the lines described in the sections on infrastructure and competitiveness should be made.

6. The institution should aggressively seek (or redirect existing resources) funds needed to invest in faculty research support. Incentives for successful principal investigators for further activities should be instituted by the College. If necessary, a faculty committee should assist the Provost in setting short-term priorities.

7. Individual departments should be given Maintenance and Operation budget increases to finance external speakers at research seminars or general College-wide fora.

8. In all cases of externally funded grants and contracts, the principal investigator should be given some control over the expenditure of the monies given to his or her department.

**Summary of Recommendations**

We summarize our recommendations discussed herein. All have clear benefits that justify costs and the list is not intended to be ordered. However, the first recommendation should be a very high, immediate institutional priority.

**1. Research Infrastructure Fund**

A substantial, campus-wide research infrastructure fund should be budgeted annually. If state and private sources are not sufficient, a redirection of grant and contract indirect cost revenues is warranted, as research infrastructure is the most justifiable use of such funds. In many cases, expenditures from the infrastructure fund may be regarded as investments, and tangible returns from these investments should be returned to the fund. Expenditures from the fund should be guided by their value to overall campus research activity (faculty time saved, extension of individual research capability, future payback potential, needs of proven ongoing research activity, recruitment and retention of high quality faculty, etc.) and may take special account of needs of faculty who have generated indirect cost funds. A portion of the infrastructure fund might be allocated directly to principal investigators in proportion to indirect costs that they have generated.

**2. A Competitive Policy in Grantsmanship**

With all due safeguards for ethical behavior, the institution should follow an aggressively competitive policy in the seeking of grants and contracts necessary for faculty to pursue legitimate research goals. Such a policy should include cost sharing, when necessary, start-up funds for researchers, flexibility in the charge of indirect costs (in recognition of fixed grant amounts), etc.

**3. Research Administrative Position**

William and Mary should establish a high-level administrative position devoted to the fostering of research activity. The title of this position might be Associate Provost for Research. This person should have relevant organizational and business skills, be sensitive to the needs of researchers and be able to communicate the value of research to relevant audiences. The incumbent should have responsibility for the entire Grants Office and extend its utility, should identify and facilitate large scale grant opportunities (including interaction with other institutions), should be a strong voice for the value of research activity and should assist in improving the campus environment for research. The incumbent may also interact usefully with the Development Office. The services of this person should eventually be self-financing.

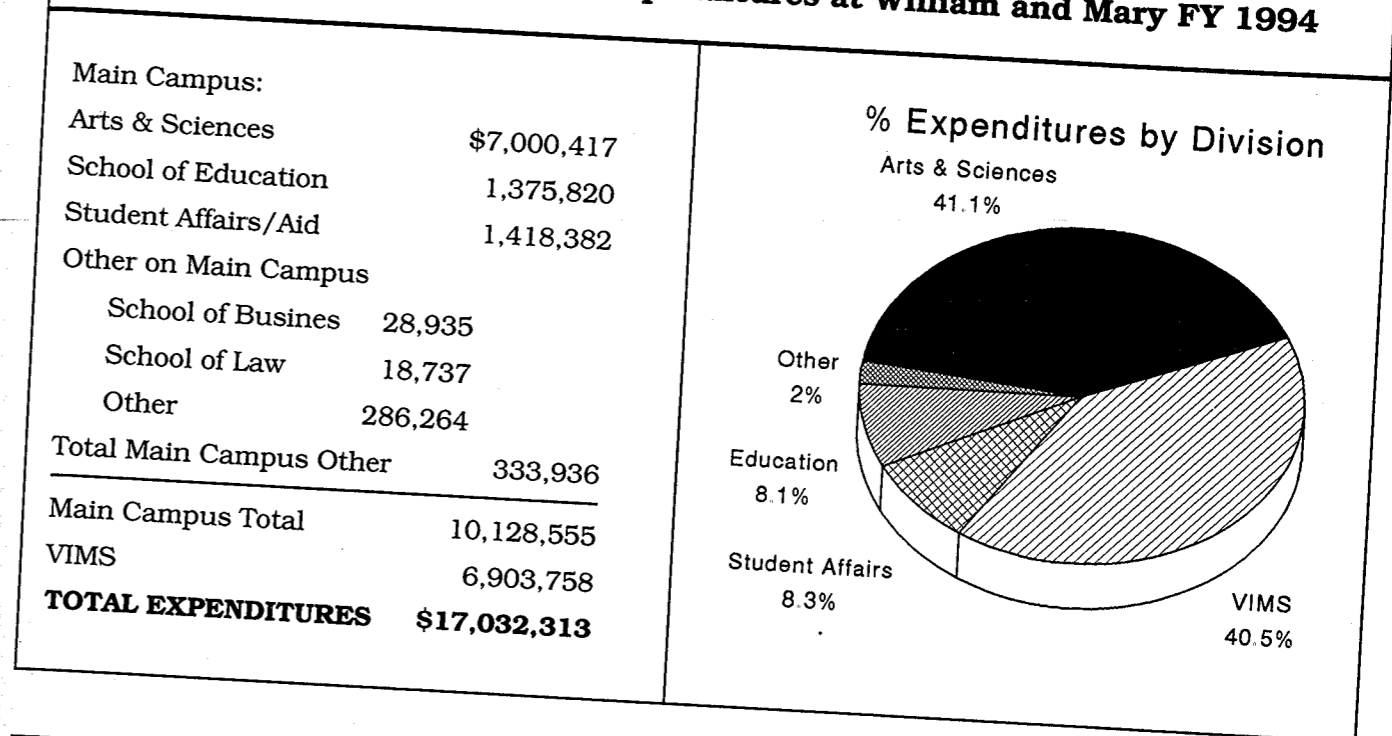
**4. Expansion of the Grants Office**

Staffing of the Grants Office (5.5 FTE's) is quite modest relative to peer institutions and current levels of grant activity. As a result, several services that could efficiently save faculty time are not provided. In addition, implementation of other recommendations herein should increase grant activity. A modest expansion of the Grants now would allow an expansion of services, such as filing time and effort reports, salary and benefits authorization, other reports, and some aspects of proposal preparation. Typing assistance, where useful, might be considered. Other faculty time-saving measures could be overseen by the Grants Office. In any event, a campus-wide, user-friendly curriculum vitae data base should be established with appropriate safeguards to meet recurring legitimate needs for such data without specific faculty attention in each instance. This should be done independent of Grants Office expansion. Future expansion of the Grants Office should be related to total activity.

**5. Public Relations Measures**

William and Mary should be aware of the value of public relations in enhancing the culture for research, and should undertake a variety of low-cost, but helpful measures. An annual faculty award for research, comparable to the Jefferson awards, should be instituted. Pronouncements by high level College administrators and College publications should contain reminders of the value of high quality research at William and Mary. And the College should establish a periodic, multi-purpose brochure describing successful faculty research activities.

**Figure 1: Sponsored Programs Expenditures at William and Mary FY 1994**



**Figure 2: Growth in Sponsored Programs Expenditures, FY 1985 - FY 1994**

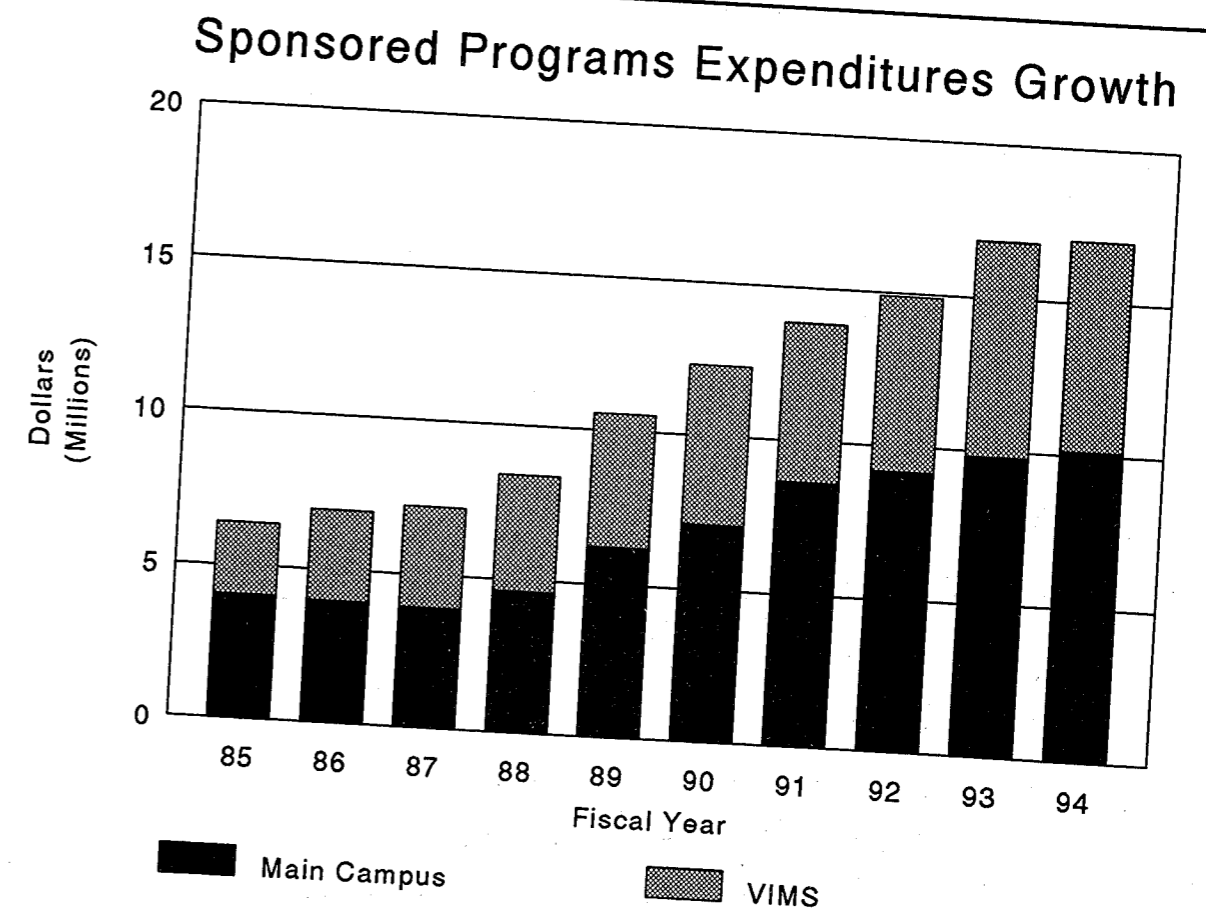


Table 1: Indirect Cost Revenues and Indirect Cost Rates: Ten-Year Profile

	1983/84	1984/85	1985/86	1986/87	1987/88	1988/89	1989/90	1990/91	1991/92	1992/93
<b>Main Campus</b>										
Indirect Cost Revenues	-----	\$451,394 <sup>1</sup>	\$497,732 <sup>2</sup>	\$519,711	\$533,747	\$715,103	\$850,368	\$911,314 <sup>3</sup>	\$1,154,682	\$1,183,648
Indirect Cost Rate <sup>4</sup>	53.1%	53.1%	53.1%	53.1%	53.1%	50.5%	50.5%	42.4%	43.7%	39.0%
<b>VIMS</b>										
Indirect Cost Revenue	\$459,001	\$549,773	\$531,611	\$683,175	\$699,125	\$860,828	\$920,831	\$1,049,905	\$1,226,434	\$1,456,927
Indirect Cost Rate <sup>5</sup>	45.0%	55.0%	55.0%	55.0%	47.6%	49.0%	47.0%	47.0%	47.0%	46.0%
<b>William &amp; Mary Total</b>										
Indirect Cost Revenue	-----	\$1,001,167	\$1,029,343	\$1,202,886	\$1,232,872	\$1,575,931	\$1,771,199	\$1,961,219	\$2,381,116	\$2,640,575

1. Based upon calendar year, rather than fiscal year.
2. Based upon calendar year, rather than fiscal year.
3. Based upon calendar year, rather than fiscal year.
4. Rate based upon salaries and wages except 1992/93 when based upon total modified direct cost.
5. Rate based upon total modified direct cost.

## Chapter Seventeen

## Related Corporate Entities

Alan F. Edwards, Jr., Chair (Graduate Student, Education)

Lawrence Wiseman, Steering Committee Liaison (Professor of Biology)

Steering Committee Members

## Introduction

Eight separately-incorporated organizations benefit William and Mary in various ways. Beyond providing development support, these entities also contribute to the College through promoting the university's interests and/or the interests of segments of the university to various constituencies. This chapter of the Self-Study identifies and describes these corporations, and documents the benefits provided by them. Required documentation (i.e., charter, bylaws, board roster, and audited financial statement) for each group is contained in the Self-Study documents collection; a general discussion of each organization, its activities, and its relation to the university appears below.

## Endowment Association

The Endowment Association of the College of William and Mary in Virginia, Incorporated was chartered in 1939 to "aid, strengthen, and expand in every proper and useful way" the work of the College. The Association's primary role is philanthropic development; members raise funds for the College's benefit and manage privately-held College assets. The Endowment Association seeks gifts and endowments for scholarships, fellowships, lectureships, professorships, and related purposes; invests such gifts; and, allocates the returns in accordance with College needs as specified by the Board of Visitors, the President, the administration, and/or the donors. Financial statements for the Association are audited by the accounting firm of Ernst and Young.

The Association is governed by a Board of Trustees of 15 to 35 members chosen from alumni and friends of the College. Trustees serve two-year terms and may not serve more than three consecutive terms, although they may be renominated and reelected following a one term retirement. Outgoing trustees may be elected as non-voting Emeritus Trustees or Life Trustees. The Board of Trustees meets three times annually.

The William and Mary President, Provost, Vice President for Development, and Vice President for Administration and Finance serve as ex-officio Trustees. The President of the Marshall-Wythe School of Law Foundation (see p. 191 below) is also an ex-officio Trustee and is an ex-officio member of the Investments Committee. The College's Internal Auditor reviews Association financial records on a regular basis and reports the findings to the Executive Committee.

## Real Estate Foundation

The College of William and Mary Real Estate Foundation, Incorporated was established in 1994. The sole shareholder of this tax exempt corporation is the William and Mary Endowment Association (see above). According to the Articles of Incorporation, it is organized "for the exclusive purpose of holding title to real and personal property, collecting income therefrom, and turning over the entire amount thereof, less expenses, to the sole stockholder of the Corporation." The Foundation acquires real and personal property by gift, bequest, grant, devise, and other means, and manages and administers such property.

The Real Estate Foundation is managed by a five-member Board of Directors. Directors are elected at the annual meeting of the shareholder (the Endowment Association) and serve one-year terms. The annual meeting of the Board is held immediately following the annual meeting of the shareholder (usually in September), and subsequent regular meetings are then scheduled. Directors are elected by a plurality of votes; matters before the Board are decided by a majority of votes (given that a quorum exists).

## Society of the Alumni

The Society of the Alumni of the College of William and Mary, established in 1842, is an incorporated non-profit organization for all former students of the College. Its Articles of Incorporation

state that "the purposes for which the Society are formed are to aid, strengthen, and expand in every proper way the College ... and its work, and to develop, strengthen, and utilize the bonds of interest, sympathy, and affection existing between the College and its alumni/ae, and among the alumni themselves."

The Society maintains all non-academic alumni records, publishes a variety of alumni communications, and sponsors numerous alumni events and activities. It is a non-dues-paying organization with 65,000 members. The Society is housed in the Alumni House on campus, and is partially funded from unrestricted private monies from the College. Society financial records are audited by the firm of Grainger, Lent, and Hawthorne.

The Alumni Society is governed by a 15-member Board of Directors who are elected by the active membership. Directors serve three-year terms and may serve no more than two consecutive terms. The Society is headed by an Executive Vice President who, by invitation, is a member of the College President's Administrative Staff, the University Advisory Committee, and several other university committees. While the Executive Vice President is hired as the Society's CEO, the position has a "dotted-line" reporting relationship to the College President. (For more information on the Society of the Alumni, see *Chapter Thirteen, Institutional Advancement*.)

#### Order of the White Jacket

The Order of the White Jacket of the College of William and Mary, Incorporated (OWJ) was established in 1972 to provide a fraternal organization for alumni who had worked in food service during their matriculation at the College. As students, many of the over 500 members received scholarships which required them to work in the College cafeteria. Beyond its functions as an alumni group, the OWJ strives to serve the entire William and Mary community through charitable grants, financial assistance, and individual recognition.

Although the OWJ is incorporated under Virginia law as an independent corporation, it works under the guidance of the Society of the Alumni Board of Directors (see above). It is currently the largest organized group of alumni in the Society. Through its development and fundraising activities, the OWJ annually awards \$15,000 in scholarships to William and Mary students who qualify for financial aid and who may not otherwise be able to attend.

The OWJ is managed by a 21-member Board of Directors. Directors serve three-year terms and may serve no more than three consecutive terms. Voting on matters before the Board or before the general membership requires a two-thirds majority. An associate director of alumni affairs (Society of the Alumni) serves as the executive administrator. Under the guidance of the OWJ Treasurer and the Society of the Alumni Bookkeeper, the executive administrator maintains the financial records of the organization. The annual meeting of the OWJ is held on the Thursday evening immediately prior to Homecoming Weekend, and usually precedes the annual banquet.

#### Athletic Educational Foundation

The William and Mary Athletic Educational Foundation (WMAEF) was incorporated as the William and Mary Educational Foundation in 1948. The purpose of the organization is to provide general support to the College's educational mission and activities, and to provide specific support in the form of grants-in-aid for student athletes, improvements in the quality of the athletic program (through enhancement of facilities, equipment, recruitment, and personnel), and the creation of endowments. The Foundation operates from office space made available by the College, and other crosslinkages between the WMAEF and the athletics program exist (see below).

The WMAEF attempts to accomplish its goals through the development of donations, gifts, subsidies, grants, and loans from individuals, memorials, trusts, foundations, corporations, and other entities. During the 1994-95 academic year, the Foundation held its annual auction, the Lord Botetourt Affair, as well as a raffle for a luxury car. Both events were quite successful. Financial statements for the Foundation are audited by Rauch, Witt, and Company of Williamsburg.

The entire membership of the corporation constitutes the Board of Trustees, which has an authorized size of 150 members encompassing 12 regional subgroups. Each regional group has a president, who is an officer of the Board and is thereby a member of the Executive Committee. The Executive Committee may exercise almost all powers of the Trustees when the Board is not in session. No more than fifty percent of the Trustees may be elected to three-year terms; the remainder to one-year terms. All such elections are based on majority votes of the Trustees present at Board meetings (the annual meeting is usually in September). Trustees may serve no more than six consecutive years on the Board. Officers serve for one year.

The College's Director of Athletics serves as an ex-officio member of the Board, and the Assistant Athletic Director for Development serves as WMAEF's Executive Director. The Assistant Athletic Director for Business routinely monitors foundation books and petty cash accounts. Those who work in the WMAEF office are also Athletic Department employees under contract with the College. Some of the Foundation's operating expenses can be paid under state regulations and are dispensed by the Athletic Department Business Office in accord with College policies and procedures. "Specific sport accounts" generated by fundraising and sport-designated contributions are maintained by the Assistant Athletic Director for Development and the Associate Director of Development (Athletics); but, under state law, these expenses are not run directly through the Athletic Department Business Office. [See also *Chapter Eleven, Intercollegiate Athletics*.]

#### School of Business Administration Sponsors

In 1972 the College of William and Mary School of Business Administration Sponsors, Inc., a non-stock, non-profit organization, was incorporated. This corporation has no voting members; all corporate powers are exercised by a Board of Directors. Individuals, partnerships, and/or corporations may be designated as Sponsors by the organization. Sponsors pay annual dues but possess no voting power. The financial records of the School of Business Sponsors are audited by the firm of Eggleston, Smith, Hall, Cotman, and Company.

The general purposes of the corporation are to promote the welfare and further the aims of the College's School of Business Administration. According to the Articles of Incorporation, the specific purposes are to: (1) bring business and business education closer together; (2) support research in management and economic problems; (3) facilitate the gathering of "case" material for educational use; (4) bring together business and government representatives; (5) assist business in setting up conferences, seminars, and advanced management programs; (6) promote the Business School's objectives through fundraising and utilization advice; (7) assist the School as is desirable (in consultation with the College president and Business dean); (8) administer property acquired on the School's behalf accordingly; and, (9) accomplish its purposes according to Virginia law, College rules, and its own By-Laws.

The business and affairs of the corporation are managed under the direction of the Board of Direc-

tors. The Board currently has thirty-nine members, each serving a three-year term. Directors may serve up to three terms after which they are designated Director emeritus (having all Board privileges except voting authority). A majority of the Board may also designate Lifetime Directors (again with all privileges except voting). The College President, the Business Dean, the William and Mary MBA Alumni Association President, and the Williamsburg Area Advisory Board Chairman serve as ex-officio Directors. The Business Dean is also a member of the Executive Committee. Biannual meetings are held in the Spring and Fall, in addition to regular and special meetings.

#### School of Law Foundation

Founded in 1982 by 21 law alumni, the Marshall-Wythe School of Law Foundation is a non-stock corporation. According to its Articles of Incorporation, the Foundation "is organized and ... operated exclusively to foster the study and teaching of law at [Marshall-Wythe] ... and to aid, strengthen and extend ... the work, services and objectives of the [School] ... consistent with the policies of the College of William and Mary in Virginia."

The corporation strives to ensure the long-term advancement of the Law School through solicitation and development of gifts to endowment. Income generated by Foundation endowment funds provides ongoing support for scholarships, professorships, library acquisitions, and program development.

In coordination with William and Mary's other fundraising activities, and in accordance with the policies of the College's Board of Visitors, the Foundation solicits, receives, holds, invests, and administers gifts, grants, contributions, and donations. Contributions are developed from alumni and friends of the Law School, as well as from parents, corporations, and foundations. These giving opportunities can take the form of cash, securities, insurance policies, testamentary gifts, gifts in kind, and real property. Foundation financial statements are audited by the private accounting firm of Eggleston, Smith, Hall, Cotman, and Company of Williamsburg.

The Law School Foundation is governed by a 16-member Board of Trustees. Elected Board members, who must be alumni of the School, serve three-year terms. Members may serve no more than three terms and may qualify for Emeritus status following the expiration of their term. When openings occur on the Board, new trustees are elected by a majority of a quorum of incumbent

trustees at the Board's annual meeting (usually in April or May).

The College President, Law School Dean, Development and Alumni Affairs Associate Dean (Law), Law School Association President, and Annual Fund Chairperson serve as voting, ex-officio members.

No members may vote on matters in which they have personal interests.

#### Friends of the Library

The nonstock corporation The Friends of Library of the College of William and Mary in Virginia Incorporated was founded in 1985. Its general purpose, as described in the Articles of Incorporation, is "to encourage the expansion and the improvement of institutions of higher education organized and operated exclusively for charitable, educational or scientific purposes ..., specifically to promote the interests and welfare of the general Library and special library collections ... of the College of William and Mary ...." The Friends of the Library strives to meet its goals in accordance with the laws of Virginia, in coordination with the Vice President for Development, in compliance with the policies of the College's Board of Visitors, and in consultation with the President of the College and the Dean of University Libraries.

In February 1989, the organization established three general goals --development support, programs and publications, and public relations--with specific activities enumerated under each category. Within the goal of development support, it seeks contributions through membership dues and donations, seeks aid locating and procuring rare or undiscovered materials, and seeks volunteer assistance in furthering its and the general Library's purposes. Under the programs and publications goal, the Friends of the Library publishes, or supports the publication of, a variety of guides, brochures, and other library-related literature, as well as planning events and programs. In furthering their public relations goals, the organization promotes the library to various internal and external constituencies.

Yearly activities of the organization include: three Board meetings, a Friends dinner, lectures, exhibition openings, a book sale, fundraisers sponsored by local businesses, and financial support for the collections and services of the library. The exhibition catalog *Treasures of the Earl Gregg Swem Library* was funded by the Friends in 1988; the *Guide to Special Collections in the Earl Gregg Swem Library*, in 1993. During the 1993-94 academic year, the Friends replaced the Library's security system. The Friends are helping to support renovations and improvements to a Microform Reading Room in 1994-95.

In April 1989, the corporation moved to establish an endowment to "meet the most pressing needs of the Earl Gregg Swem Library as determined by the University Librarian, in consultation with the board of directors of The Friends of the Library." The Friends of the Library Endowment was created through the board of directors of the College's Endowment Association in May 1989. No annual financial reports of Friends of the Library funds exist, as all such funds are held in College accounts.

The business and affairs of the corporation are carried out by a Board of Directors. Currently there are 23 elected members and four ex-officio members (the University Libraries Dean and the Associate Dean, the Manuscripts and Rare Books Curator, and a representative from the College's Development Office). None of the ex-officio members is additionally compensated by the Friends; the Development Office representative is the only ex-officio member prohibited from voting and holding office.

Elected Directors serve three-year terms and are eligible for re-election once. Such elections take place at the annual meeting (usually in April) from voting by present Directors on a slate of identified nominees. A William and Mary student is appointed to the Board for a one-year term by the Chair, and may be reappointed for two additional one-year terms. Former Board members may be elected as non-voting Directors Emeriti.

## Chapter Eighteen

# Overview: Resources, People, Information

Self-Study Steering Committee

Self-Studies are only interesting and useful when they recommend creative and sensible ways to improve the quality of institutions. William and Mary's 1984 Self-Study, for example, produced many recommendations whose implementation significantly changed and improved the university: the College created a Faculty Assembly, developed a new undergraduate curriculum, assured that all Deans report to the Provost, and set in process a variety of other initiatives. Similarly, there are more than 175 specific recommendations in this report, explained in the preceding chapters and listed in summary form as Appendix A. Of course we hope the university community will see value in most of them and will seek implementation in a timely manner.

When we began to organize this Study we discovered that many colleagues were reluctant to participate. The most common response was, "Nothing ever came of the last Self-Study." Even though many important changes did come from that effort, the widely held perception was --and is-- that Self-Studies represent too many hours of work by too many people to produce "shelf documents" whose recommendations remain virtually unknown. We discovered no systematic inventory of the recommendations made in 1984, let alone a record of implementation. The Self-Study process, and the confidence the community has in it, would be considerably improved if a formal public record of implementation were in place.

**Recommendation 1 -- Formally Track Self-Study Recommendations:** We recommend that an office or individual be publicly designated by the Provost to track the implementation progress of the 1994 Self-Study recommendations. This individual or office

should present written progress reports to the university community every year until the next Self-Study, and copies should be distributed to appropriate student, faculty, and staff governing bodies, and to administrative offices, the President, and the Board of Visitors. Although this might seem a burdensome task, it is certainly no more so than doing the Self-Study itself. Implemented recommendations should be recorded (with dates) and reasons for non-implementation explained (e.g., in process, referred to committee or office for study, or not possible because....). In 2003 or thereabouts, when the next Self-Study is initiated, an examination of the compiled yearly implementation reports should serve as a strong beginning point.

Rather than summarize or debate the many recommendations included in this Report, we will discuss very briefly below three general themes that appear throughout the document and that surfaced repeatedly in the many conversations, questionnaires, meetings, and interviews that informed this study: Resources, People, and Information. We make four more recommendations.

#### Resources

*"Excellence can't be bought,  
but it has to be paid for."<sup>1</sup>*

William and Mary enters its fourth century as a well-respected public university of moderate size. Nearly two years of self study confirm that the College is an excellent institution --a university of high quality and purpose with talented students, vigorous faculty, committed administration and staff, and devoted friends and supporters. But

<sup>1</sup> Val Fitch, Nobel Prize winner in physics, as quoted by William G. Bowen in "Higher Education in the '90s: Threats to the Enterprise" in *The Modern University: Its Present Status and Future Prospects* (papers from the Sixth Kenan Convocation, April 22-24, 1993), Chapel Hill, North Carolina, 1994 (p. 3).



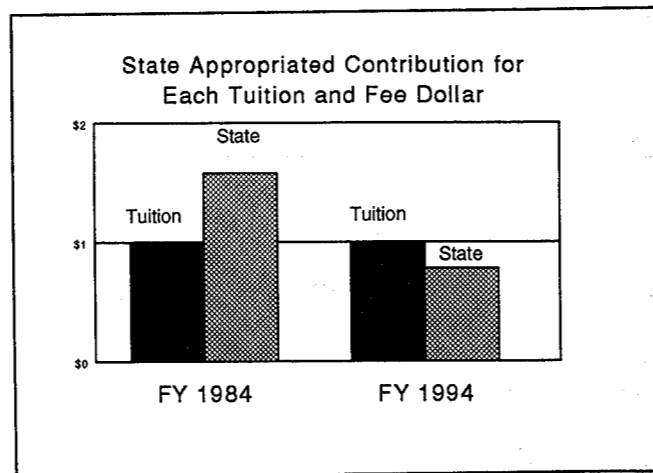
today --probably more so than ten years ago-- that excellence is in jeopardy. As the Commonwealth of Virginia grapples with spending priorities in a contentious political climate of "no new taxes" and as the news media and the legislature challenge the traditions and value of higher education, public universities face an indefinite future of inadequate resources and diminishing public trust. This is unsettling --and challenging-- for a well-established institution whose recognized high quality has depended in large measure upon generous public support.

Funding concerns attend all Self-Studies, even in times of relative abundance. But it is now absolutely clear that insufficient resources have unquestionably begun to affect the quality of what we do here. A recent memo to the university's Provost from the Educational Policy Committee of the Faculty of Arts and Sciences forcefully makes the point:

We are the Faculty committee charged with maintaining the overall quality of undergraduate education at the College, yet we are now put in the position of having to approve curricular changes based upon economic considerations. We realize that this might seem a small thing, given the roller coaster ride (mostly downward) we have all been on with regard to the State funding and treatment of higher education. But our recent decision...illustrates most clearly to us that these cuts are beginning to undermine the very quality and integrity of the undergraduate program.<sup>2</sup>

In the emerging new world of public higher education, where efficiency --doing more with less-- and accountability have become the highest coins of the realm, the College was especially pleased to be named by a weekly news magazine the fourth most efficient "national university" in the country.<sup>3</sup> Nonetheless, William and Mary is discovering almost daily in everything it does that increasing efficiency --especially in matters educational-- does not necessarily increase quality. Regrettably, the college remains near the bottom of its 26-member academic peer group in expenditures per student, a lowly position it has maintained steadily since at least 1986. Furthermore, the state's proportional contribution to total university revenues continues its predictable decline while tuition and fees in-

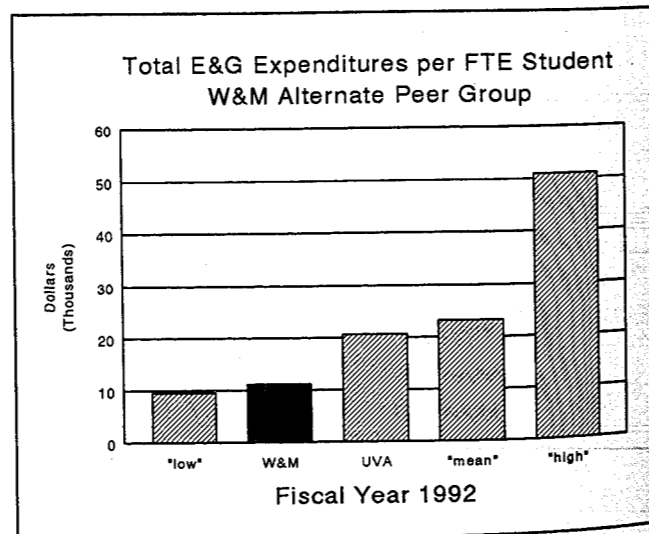
crease "to make up the difference." In fiscal year 1984, the state of Virginia appropriated \$1.58 for every dollar of tuition and fees collected by the College. Ten years later as we complete this 1994 Self-Study, the state's proportional appropriated



contribution to William and Mary is just half that --only 78 cents for every student-contributed dollar.

Of course, William and Mary is not alone in this predicament; funding will continue to be a serious problem for most of higher education. It is, in fact, a tribute to our academic community that we have sustained such a high level of excellence in such a resource depleted environment.

Admonishments to raise more money, attract more external grant support, and persuade the legislature to enlightened generosity are fine and



2. From December 8, 1994 memo to the Provost from the Educational Policy Committee.  
 3. *America's Best Colleges: 1995 College Guide* by the editors of *U.S. News & World Report*, 228 pp.

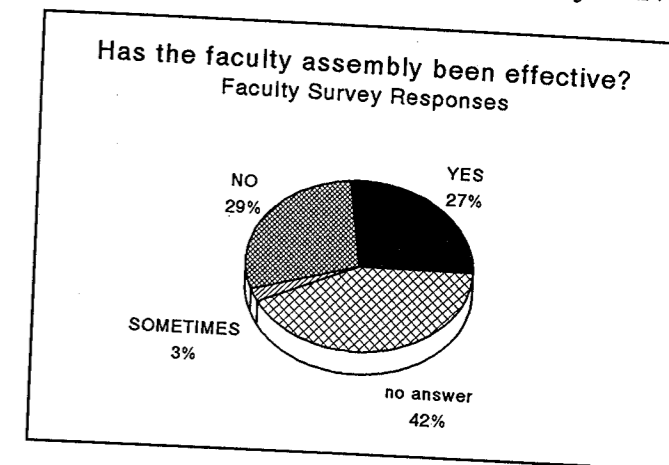
reasonable, but they are not recommendations, and we will not make them here. We are convinced that our administration, faculty, students, and board are doing a good job --in a difficult economic climate-- of finding resources and persuading those who can help us to do so. But there is one area of resource management in which improvement must be made: collegial decision making.

There is widespread agreement on campus that the decision-making structures involved in resource allocation --especially in response to state budget mandates-- are not as open, accessible, or collegial as might be expected in a university of moderate size which prides itself on its "human scale." The University Policy Advisory Committee (UPAC), a representative body that advises the administration on budget and other matters, is especially subject to such criticism. Many believe that UPAC is a "rubber stamp." In tough budgetary environments especially, morale suffers when members of the community feel disconnected from important decision making. They feel even worse if they believe they are spending time in exercises that are more for show than for consultation. Most would surely agree with W. Robert Connor, President and Director of the National Humanities Center, who has commented, "It is crucial to find the points where concentrated effort can produce long-term results. ... These are emphatically *not* the smoke screen committees --consultative committees set up to provide a cover for administrators to do what they have already decided to do."<sup>4</sup> Even if administrators have not already decided what to do before consulting faculty, staff, and students, the impression that they have is damaging to the community.

As one faculty member said to us, "The faculty are more atomized than they were just a few years ago. They go their own way, doing their own thing, but not looking out for the whole as they once did." If true --and we believe there is some evidence that it is-- this is a serious problem. Perhaps nothing would be more damaging to William and Mary than the slow erosion of institutional commitment by faculty, a commitment that has always served the College well.

One avenue that should provide faculty a say in institutional deliberation and decisions is the

Faculty Assembly. The creation of the Assembly, recommended in the previous Self-Study, was viewed with hopeful anticipation by many faculty members. Unfortunately, our faculty survey



revealed only modest confidence in the Assembly's effectiveness. Nearly one-half of the 237 responding faculty did not even answer the question on Assembly effectiveness, and about one-half of those who did think it ineffective.

What can be done? One possibility is to develop structures and processes which promote campus-wide discussion and deliberation, and we enthusiastically endorse the Self-Study Financial Resources Committee recommendation that open budget hearings become part of the budget planning process for William and Mary. We should not be afraid to try new things just because they may be difficult to manage. If the Commonwealth of Virginia can conduct open budget hearings on such a large scale, we believe William and Mary can do so as well. The College always should be looking for as many good ideas as it can find, and an open hearing with knowledgeable people participating can only help. As former Harvard Dean (and William and Mary alumnus) Henry Rosovsky has written, "In a university, those with knowledge are entitled to a greater say."<sup>5</sup>

**Recommendation 2 -- Establish a Priorities Committee to Replace UPAC:** We recommend that the President and the College replace the University Policy Advisory Committee with a Priorities Committee. It would serve as a kind of permanent strategic planning

4. W. Robert Connor in "The Future of the American University" in *The Modern University: Its Present Status and Future Prospects* (Papers from the Sixth Kenan Convocation, April 22-24, 1993), Chapel Hill, NC 1994 (p. 71).  
 5. *The University: An Owner's Manual* (1990) by Henry Rosovsky, W.W. Norton & Company: New York (309 pp), p. 269.

group, with a specific, public charge to advise the President and the College on funding priorities. This group should not be too large yet widely representative of campus constituencies, and it should meet regularly in good faith deliberation, not in after-the-fact reaction.

**Recommendation 3 -- Create a "Blue Ribbon Panel" of Faculty to Assess Faculty Assembly Effectiveness:** We recommend that a "Blue Ribbon Panel" of faculty be selected by their peers (by whatever means the faculties in the various schools decide) to assess the effectiveness of the Faculty Assembly and to make specific recommendations for improvements if necessary.

### People

*"Venture capitalists are successful because they invest in the people first and the ideas second."*<sup>6</sup>

William and Mary's most important resource is not money, but people. Students, faculty, administrators, staff, board members, alumni, and friends make the institution what it is, and a strong sense of community helps to make it better. Although we believe there is a fairly good sense of community at the College, it probably is not as strong as it was ten years ago. It may be inevitable in uncertain times of growth and change that people begin to wonder if the institution values them. We discovered that there are many hardworking, loyal people in all areas of the university who feel somewhat undervalued by the College, who believe they are working harder and longer with less control over their lives and less influence on institutional decisions than they had in the past. Representative of this feeling is a graduate student's response on our questionnaire that the most important thing the College could do to make William and Mary a better place for graduate and professional study would be, "Recognizing graduate students as a distinct and valuable part of the student body...."

Ernest Boyer, President of The Carnegie Foundation for the Advancement of Teaching, suggests five principles which "may provide a framework

within which a vital community of learning can be built:"<sup>7</sup>

I. A college or university is, above all, a **purposeful** community, a place where the intellectual life is central and where faculty and students work together to strengthen teaching and learning on the campus.

II. A college or university is also a **just** community, a place where the dignity of all individuals is affirmed and where equality of opportunity is vigorously pursued.

III. ...a college or university, at its best, is an **open, honest** community, a place where freedom of expression is uncompromisingly protected and where civility is powerfully affirmed.

IV. A college or university is, necessarily, a **disciplined** community, a place where individuals accept their obligations to the group and where well-defined procedures guide behavior for the common good.

V. Finally, a college or university is a **caring** community, a place where the well-being of each member is sensitively supported and where service to others is encouraged.

We concur with Boyer's principles and believe that William and Mary should be diligent in applying all five as it seeks constantly to foster a real sense of academic community. Although some have suggested that faculty morale especially is dependent upon salaries, there are other things institutions can do for morale which do not cost money. In that spirit, we propose the immediate initiation of a new tradition at William and Mary --one that may help promote a better sense of community on campus:

### Recommendation 4 -- Begin a New Tradition of "Town Meetings" and a University Club:

To raise the level of discourse on campus in terms of its civility and intellectual content, and to promote cooperation and trust between and among the various university constituencies, we recommend beginning a new William and Mary tradition --a series of on-going "town meetings" led by the President, with faculty, students, staff, and friends invited to discuss issues important to the College community. We suggest the "meetings" be orchestrated by the President's Office and be held once or twice every semester, each time focusing on a single

6. Recounted to a member of the Steering Committee in conversation concerning strategic planning.

7. From "In Search of Community," a speech by Ernest L. Boyer before the American Council on Education Annual Meeting, Washington, D.C., January 18, 1990 (a copy of the speech is on file with the Self-Study documents collection).

topic announced well in advance. Topics could range from specific to general and from local to global, and could include anything of interest to the community.

In addition, a congenial, permanent gathering place should be created on campus --a University Club for all members of the community to meet informally whenever they like-- perhaps in one of the houses along Jamestown Road or some other suitable building. The campus is deficient in friendly spaces for informal gathering and interaction across departmental and other boundaries (especially for faculty, staff, and administrators).

### Information

*"If a lion could talk,  
we could not understand him."*<sup>8</sup>

If concern about any one topic screams out at us throughout the previous chapters and the discussions and conversations of the past several years, it is that of William and Mary's seeming inability or unwillingness to consolidate information collection, storage, and access. Quick access to quality information is essential whether one is writing a grant application, trying to find a book, registering for class, or maintaining building repair records. Such access is not always easy nor quick at William and Mary.

In the course of this Study, and in the concurrent Strategic Planning effort, we discovered the often-haphazard ways information is collected and stored at the College. The same question, for example, may produce different answers depending upon which office is asked. And for some questions, no one knows who has the data. Some offices and departments have successfully entered the electronic information age. Unfortunately, others still lag behind in the paper and pencil era. Careful reading of this long document reveals in almost every chapter disappointment in information quality and access.

This is not, emphatically, simply a question of hardware and software (that is, technology); it is a question of allocation, organization, and cooperation. From faculty in information-intensive research areas using outdated and slow computers to a seriously understaffed Office of Institutional Research, William and Mary seems reluctant to

appreciate the so-called "information age." The organization of information --who collects, who stores, who has access-- as well as the cooperation between various departments and offices must be improved. Unproductive "turf battles" and unclear assignment of responsibilities in this area must be addressed.

Not all is bad. Campus communications and information processing have improved greatly since, and as a result of, the last Self-Study. But we still lack a well-defined institutional perspective on information in its most philosophical sense and have not yet developed an institutional culture that aggressively promotes access and openness to information at all levels. William and Mary has not spent enough time discussing what kinds of information it needs, who should collect it and how, and who will have access. It is important to discuss hardware and software, but one of the most difficult problems we face concerns the information itself. We have a fifth and final recommendation:

### Recommendation 5 -- Designate a University-Wide Information Coordinator:

We recommend that a new position be created --or that a current position be modified-- for a person to coordinate information collection, storage, and retrieval on campus. The position should report directly to the Provost and be filled by someone who knows and understands not just hardware and software, but organization and people. Common data bases should be created and shared by the campus, and cooperation between and among offices and departments should be facilitated. Institutional Research, the Computer Center, the Department of Computer Science, Technology Services, the libraries, and all other information-intensive groups with technical expertise should be helped and encouraged to work together and with the rest of the university community. This person should see the "big picture" of information and be a first-rate communicator and facilitator who also understands technology.

### Conclusion

William and Mary is a strong, vibrant community whose people have the intelligence, creativity, and energy to maintain a high quality university and to make it even better. We believe that making it better should include more open and

8. Ludwig Wittgenstein in *Philosophical Investigations*.

collegial decision making, more opportunities to bring people together in honest discussion, and the development of a sophisticated, campus-wide "information infrastructure."

## Appendix A

# Summary of Recommendations

### Overview

**Formally Track Self-Study Recommendations:** An office or individual should be publicly designated by the Provost to follow the implementation progress of all Self-Study recommendations and to make written reports every year until the university community until the next Self-Study.

**Establish A Priorities Committee to Replace UPAC:** The President and the College should replace the University Policy Advisory Committee with a Priorities Committee with the specific, public charge to advise the President and the College on funding priorities.

**Create a "Blue Ribbon Panel" of Faculty to Assess Faculty Assembly Effectiveness:** A panel of faculty selected by their peers should assess the effectiveness of the Faculty Assembly and make specific recommendations for improvements.

**Begin a New William and Mary Tradition of "Town Meetings" and a University Club:** To raise the level of discourse on campus and to promote cooperation and trust between and among the various university constituencies we recommend the beginning of a new William and Mary tradition --a series of on-going "town meetings" led by the President with faculty, students, staff, and friends invited to discuss issues important to the College community. In addition, a congenial permanent gathering place should be created on campus, a University Club for all members of the community to meet informally whenever they like, perhaps in one of the houses along Jamestown Road. The campus needs a place for informal gathering and interaction across departmental and other boundaries.

**Designate a University-Wide Information Coordinator:** A new position should be created --or a current position modified-- for a person to coordinate information collection, storage, and retrieval on campus. Common data bases should be created and shared, and cooperation between and among Institutional Research, the Computer Center, Technology Services, the Department of Computer Science, the libraries, the Registrar's Office, Academic Advising, and other information gathering departments and offices should be facilitated. Ready, universal access to quality information should be the goal. The position should report to the Provost.

The following is a condensed summary of all recommendations in the order they appear in the document, not in priority order. For complete recommendations and their explanations, please see appropriate Chapter text.

### Institutional Purpose

1. A new mission statement was written and recommended to the College community (approved by Board of Visitors, August 22, 1994).

### Institutional Effectiveness

2. Future strategic planning exercises should include participation of standing committees of the College.

3. Regular College committees should be involved in implementing the recommendations of the Strategic Plan.
4. 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 the recommendations should be issued to the College community.
5. Objectives and goals, criteria, and assessment tools must be linked to resources. Performance measures must be accompanied by institutional support for the activities and financial support for efforts to gather required information.
6. Integrated assessment mechanisms in student affairs should be developed and coordinated with those already in place with the academic deans.
7. A policy should be established to provide one-course relief to faculty during tenure as editor of a national journal.
8. The College should investigate the sizes of other university institutional research offices, determine appropriate staffing levels for William and Mary, and staff the Office of Institutional Research at a reasonable level.
9. The university should address seriously the need for university-wide access to centralized data bases maintained by the Office of Institutional Research.
10. The College must provide meaningful assistance to individuals and units in acquiring technology, in integrating its use into everyday activities, in training to ensure accessibility, and in supporting day-to-day applications.
11. 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.

### *Undergraduate Program*

12. The statement of policies governing the admission of undergraduate students 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."
13. The Office of Admission must be provided with an adequate staff and operating budget, and should be provided with more editorial control and greater control and flexibility in expending publication monies.
14. The Office of Admission should be regularly assessed by the Office of the Provost in consultation with the Admission Policy Committee no less often than every five years.
15. 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 other groups.
16. Each unit undergoing assessment should be required to include in its final report a detailed plan for addressing any problems uncovered and to propose an appropriate timetable, to be approved by the Dean, to remedy these problems.
17. The Deans, where appropriate, should provide funding for necessary changes suggested by assessment.

18. The College should continue its generous support for interdisciplinary teaching and research.
19. A standing faculty committee should be established for each interdisciplinary concentration composed of representatives of the departments and areas involved. Among other duties, these faculty would serve as concentration advisors.
20. The rules and policies governing interdisciplinary concentrations should be clearly stated in the catalogue.
21. The College should work to ensure sufficient space to accommodate the expanding programs and services of the Charles Center for Honors and Interdisciplinary Studies.
22. The Reves Center should continue to generate student financial support and scholarships for study abroad.
23. Department chairs and deans should provide forums for the discussion of grading practices and the description of grades in the catalogue, with the goal of building a communal consensus on grading practices.
24. The deans, in conjunction with the Student Association, should establish and maintain an online catalogue of current course syllabi.
25. The College should develop a user fee policy such that user fees be charged only in unusual circumstances and that they directly reflect the actual expenses incurred.
26. The College should work with the Writing Resources Center to develop a program which will accommodate all students who need English as a Second Language instruction and tutoring.
27. A study of enrollment and student interest in Black Studies should be made and used as a basis for further program assessment.
28. The College should fund a Faculty Seminar to identify, organize, and train a core faculty in Black Studies and to develop a more complete and coherent curriculum.
29. Possibilities for a Black Studies emphasis in existing courses and in courses being developed in such fields as women's studies, interdisciplinary studies, multiculturalism, and postcolonialism should be explored.
30. Those faculty and administrators involved in Black Studies should consult with directors of successful programs at other institutions.

### *Graduate Program*

31. The College should fund the State Council of Higher Education for Virginia-approved Ph.D. in School Psychology (School of Education).
32. The five-year B.A.-M.B.A. program in Accounting (School of Business Administration) should be approved and implemented.
33. The College should consider the feasibility and desirability of doctoral programs in Psychology and Historical Archaeology.
34. In departments offering graduate degrees, the normal teaching assignment should be no more than 3 courses one semester and 2 the next. In doctoral departments, faculty involved heavily in graduate teaching and supervision should teach no more than 2 courses each semester. In masters-only departments, faculty who teach or supervise graduate students should receive credit toward course reductions in an explicit and standardized "banking system."
35. In order to retain the best graduate faculty, faculty salaries and research funds must be raised across the board, particularly in relation to our state peer and alternative peer groups.

36. Graduate fellowships and stipends must be raised substantially and immediately. The College should establish, and periodically adjust, a minimum stipend for all graduate departments.

37. The College should better assist graduate students in the writing of theses and dissertations. Workshops taught in the Writing Center by faculty from graduate departments and programs are desirable.

38. The College should improve its exit advising and placement of graduate students. The Career Counseling Office should make a concerted effort to attend to graduate student needs, as should individual departments and schools.

39. Computer access for graduate students must be increased dramatically.

40. Space for graduate students to study and write should be found, preferably in their own departmental or school quarters. The planning of renovations and new buildings should pay more attention to graduate student needs.

41. The College libraries must find ways to give graduate students and faculty greater and faster access to scholarly periodicals.

42. In times of financial exigency, the College should protect the library budget from disproportionate reductions.

43. All graduate departments and programs should be assessed by peers and outside visitors on a regular and timely basis.

44. The College should establish funds for graduate students to attend scholarly and professional conferences to give papers and to interview for jobs.

45. The College should establish funds to enable graduate students to pursue research in out-of-state and foreign libraries, archives, and laboratories.

46. The College should appoint a Financial Aid Officer to assist graduate students in applying for loans, work-study, on- and off-campus jobs, and fellowships, and to coordinate the prompt and accurate disbursement of assistantships and fellowships.

47. The Grants Office should hold workshops for graduate students seeking pre- and post-doctoral grants and fellowships and assist them in the application process.

48. Particularly in a time of fiscal responsibility and public accountability, graduate education is so important to the mission of the College, to the Commonwealth, and to the nation that William and Mary should strongly support its *strongest* graduate programs as well as eliminate or downsize its weakest.

### Continuing Education, Outreach and Service Programs

49. The recommendations of the "Report of the President's Task Force on Public Service" should be seriously considered both in attempts to document service types/hours and in future planning efforts.

50. Future efforts to document public service should not overlook efforts in the areas of continuing education and local involvement in campus learning opportunities.

51. As consideration is given to replacing the Office of Special Programs/Continuing Education, significant community input should be sought and used.

### Faculty

52. The College should establish as a salary goal the 75th percentile among State Peer institutions and the College should move to reach this goal over a four-year period.

53. The College should seek to expand opportunities for faculty development and should examine existing faculty development programs.

54. The College should publish a comprehensive list of in-house faculty development opportunities.

55. The College should explore the possibility of moving toward a system of more flexible benefits.

56. The *Faculty Handbook* revision should be completed in an expeditious manner.

57. College-wide policies on faculty workload should be consistent with the institution's high expectations for research, teaching, and service, and should recognize that differences may exist in all of these areas across the disciplines and schools.

58. The College, both through its administrative leadership and through the efforts of its individual faculty members, must remain considerate of the opportunities and challenges provided by the diversification of the faculty. The College must persevere.

59. The Faculty Assembly must continue to provide guidelines and policies to streamline and improve the system of faculty governance.

60. The College should complete work on the part-time faculty handbook.

61. The Faculty Assembly should administer periodic surveys of the faculty to elicit opinion on matters of interest to the College.

62. The College should provide a published set of guidelines for the administration of graduate assistantships.

63. The College should explore the possibility of establishing a mentoring system between tenured and untenured faculty to clarify evaluation criteria and procedures and to exchange ideas on teaching and scholarship.

### Consortia and Contractual Relationships

64. The College should continue to proceed in the areas of consortia and contractual relationships, but careful scrutiny must be given to matters of shared responsibilities for support, administration, and assessment.

65. While many of the current consortia involve the physical sciences, consortial interactions in the humanities and social sciences should also be explored.

66. The almost complete lack of contractual relations for degree-credit educational programs supports William and Mary's tradition of faculty doing the actual teaching; however, the potential for contractual relations should not be overlooked as new developments shape and reshape higher education.

### Library

67. The College should continue to pursue funding for the library addition and renovation, and should begin an immediate campaign for the donation of private funds targeted exclusively for the library construction.

68. The staffing requests of the library must be honored, and the administration must set a high priority on changing the guidelines of the archaic formulas used by the state for staff levels. We recommend the creation of endowed library chairs using private funds.

69. The College administration should recognize and give the library exceptionally high priority with respect to funding.

70. We strongly recommend that the College develop a reserve fund as determined by the library which can be used in fiscal years in which inflationary costs for serials are beyond anticipated projections. We also recommend that once the anticipated information technology for document retrieval is in place, the College must make a very serious effort to evaluate the existing serials collection with respect to need and costs relative to other and more cost effective means of accessibility.

71. We recommend that the library be given the highest priority for the procurement of state-of-the-art technology.

72. We strongly support the need to establish at least one more full-time classified position immediately and an additional position within the next three years for the Law School library. An hourly half-time position should be created for audiovisual and computer assistance.

73. The law school administration and library staff should begin taking the appropriate steps to generate a comprehensive plan for expansion of the current facility.

74. The highest priority should be given to increasing the current staffing levels of the School of Marine Science/Virginia Institute of Marine Science library.

75. We recommend that all efforts be made by the SMS/VIMS administration in their quest for state appropriations to bring the library back to its position of becoming one of the premiere and model libraries for marine science in the United States.

76. The SMS/VIMS library should be upgraded and maintained at the same technological levels as the main campus.

### Instructional Support and Computer Resources

77. Continued funding of the high-speed campus backbone computer network must remain a priority.

78. The College needs to totally revamp its preregistration and registration procedures.

79. The College should work toward equipping every classroom on campus with a built-in video or RGB monitor and campus network access.

### Student Development Services

80. On-line computer capability should be developed for undergraduate academic advisors to access pertinent data about their advisees, and students should have access to specific personal or biographical data.

81. A system should be developed whereby Academic Advising provides a more formalized support role for departmental advisors to junior and senior students.

82. A clear written policy on the admission of international students should be developed.

83. Adequate support should be provided to international students, including advising and counseling, centralized visa assistance, coordination and liaison with the community, and English as a Second Language instruction.

84. A plan should be developed to include support for Asian and Hispanic students.

85. A plan should be developed to recruit and assist the transition of Native American students, especially from within Virginia.

86. The resources of the Office of Multicultural Affairs should be expanded to facilitate the handling of the increasing responsibilities of the office and to reflect the level of the College's commitment to a culturally diverse student body.

87. The College should adopt a policy clarifying the role of students in institutional governance.

88. The student information system should be carefully structured to preserve confidentiality of student records in all areas.

89. As enrollment increases, the College should continue to provide campus housing at the Board of Visitors recommended percentages.

90. The College should identify ways to accelerate the maintenance program for residence halls and to provide more support for the delivery of preventive maintenance services.

91. The Financial Aid Office should develop an analysis of the short and long term financial aid needs of students in all divisions of the university.

92. The College must identify additional --and almost certainly *private*-- sources of financial aid for undergraduate and graduate students.

93. An architectural/engineering study should be authorized to develop adequate accessible space that encourages and preserves confidentiality between clients and staff at the Student Health Center.

94. Time should be set aside during new student orientation to explain the services and function of the King Student Health Center.

### Intercollegiate Athletics

95. The Athletic Department's commitment to a Division I program should be applied more equitably to all Tier I sports.

96. The College should reexamine and revise its official athletics policies and guidelines to reflect more accurately the current facts and circumstances surrounding intercollegiate athletics.

97. The Committee supports policies that promote the full integration of student-athletes into the general student population and urges the College to continue to recruit academically suitable student-athletes and to place their educational development above their role in intercollegiate athletics.

98. In light of current fiscal realities, the Committee recommends that the College redefine its commitment to a broad-based program in terms of the total athletic experience at the College, whether that experience occurs at the intercollegiate, intramural, recreational, or club sport level.

99. When decisions to cut teams or reallocate resources are made, the College should focus on the student-athlete as a guiding principle, giving some priority to those teams with a recent record of outstanding academic achievement and strong academic leadership from their coaches.

100. The Committee believes that the current dependence on the intercollegiate athletic fee is too great, and recommends that, in the long run, the fee should be capped and gradually reduced.

101. The Committee believes that greater flexibility in the allocation and use of the student fee can and should be developed.

102. The Committee believes that the College should, both in policy and practice, fully embrace a commitment to equity in intercollegiate athletics. This commitment should be reflected not only in equitable participation opportunities for males and females, but also in the quality of the athletic experience.

103. The senior female administrator needs to play a more prominent role in the College's decisionmaking process and be more visibly involved in all College decisions affecting the women's program.

104. The Committee believes that the intercollegiate athletics program would benefit from more effective and systematic use of the Faculty Athletic Policy Advisory Committee.

105. The College should develop a formal policy statement that explicitly describes the President's responsibility for administrative and institutional control of the intercollegiate athletics program.

106. The President should meet regularly with the entire Faculty Athletic Policy Advisory Committee, and not just with the Committee's Chairman.

107. The Faculty Athletic Policy Advisory Committee should review appropriate documents at least annually to ensure that the College continues to provide an adequate framework for institutional control of the intercollegiate athletics program.

108. The Committee recommends that the College consider, for the sake of continuity and fiscal prudence, having the state auditor's office conduct the annual audit of the Athletic Educational Foundation as it already does for the Athletic Department.

109. Because the burden of meeting the rising costs of intercollegiate athletics should not be borne entirely, or even largely, by the student intercollegiate athletic fee, the athletics program must continue to implement effective cost-containment and cost-reduction measures and to increase its revenue production.

110. The College should continue to work for the adoption of cost-containment measures at the national and conference levels, and should explore the possibility of converting a limited number of "full-ride" grants-in-aid to tuition and fees only on a conference-wide basis.

111. The Athletic Department must increase its levels of private fundraising.

112. The College needs to develop a more demanding policy concerning the in-state/out-of-state ratio of slotted athletes. We suggest a target of 50%:50% be established as a long-term goal.

113. Academic support services should be provided to all student-athletes without regard for the particular sport in which they compete.

114. Academic advising services for student-athletes should be provided exclusively by those College personnel authorized by the Provost to provide academic advice.

115. The College should implement a gender equity plan that reflects a strong commitment to gender equity and that is comprehensive in scope. A review of all athletics policies, practices, and guidelines should occur to ensure a nondiscriminatory basis or effect.

116. The College should allocate grants-in-aid to men and women in amounts substantially proportionate to their enrollment rates.

117. The gender equity plan should ensure equal opportunities to receive coaching by applying the same coach-to-athlete ratio to all similarly situated sports and by making adjustments in the number and compensation of women's assistant coaches to reflect similarities in responsibilities.

118. The gender equity plan should provide for more equitable access to locker room and practice facilities, to weight training facilities and personnel, and to sports promotion and publicity services.

119. The Office of Student Affairs should conduct an effective assessment of the athletic interests and abilities of William and Mary students.

120. The Athletic Department should develop a plan to recruit and hire women and minorities for key decisionmaking positions in the athletic administration and for coaching positions.

### Organization and Administration

121. The College should strengthen coordination of information technology, especially computing and instructional technology.

122. The College should centralize or improve the coordination of student, personnel, and other basic university data bases.

123. The College should centralize the scheduling of space on campus.

124. The College should strengthen the support structure within the Provost's Office.

125. Legal counsel should be appointed for the College.

126. The university should enhance coordination of functions among the various schools.

127. The administrator evaluation process should be streamlined.

128. Hourly and classified employees should be more fully engaged in the administrative operation of the College.

129. The College should strengthen the link between the administration and the shared governance system.

### Institutional Advancement

130. The administration should move quickly into the next capital campaign.

131. The overall staffing of the Office of University Development should grow commensurate with attaining a high yield on such resource expenditure.

132. The development fundraising activities at the College should continue as a relatively centralized system.

133. The new position of Vice President for Community Relations and Public Service should be staffed adequately so it can perform its important tasks.

134. The Office of Community Relations and Public Service should come up with a comprehensive university-wide communications plan.

135. The College and the Alumni Society should jointly re-examine and update as appropriate the agreement between them ratified over twenty years ago.

136. Communication between the Alumni Society's Executive Vice President and the College's Vice President for Planning and Budget should be increased.

137. The Alumni Society should continue to coordinate data with the Development Office and work to keep the records current as data system upgrades become available.

138. The Alumni Society should explicitly involve a faculty member as liaison with the Society's Board to help enhance and coordinate the significant efforts by the Society to create meaningful linkages to, and dialogue with, the faculty.

### Financial Resources

139. The university needs to formalize a process of assessing the short- and long-run fiscal impacts of major restructuring and budgeting decisions. Milestones for post-implementation audits are recommended.
140. To minimize increases in tuition, fees, and enrollment to levels that may be prejudicial to maintaining quality, the university should explore options for generating net unrestricted revenues consistent with the institution's image.
141. Because of the nature of budgets as policy documents, the university should consider institutionalizing open budget hearings with participation of the Faculty Assembly, students, and other stakeholders.
142. The university should consider hiring an attorney, in addition to the Director of Affirmative Action, to provide guidance in minimizing contractual, environmental, and other risks.
143. The university needs to explore economies that may be derived from "out-sourcing" certain functions to established national contractors as well as firms owned by minority, female, and handicapped persons.
144. The university needs to increase and maintain high funding levels for the library and related research services which are central to the mission of educating its students. It needs to insulate these as much as possible from state budgetary decisions.
145. Fund balances need to be continuously reviewed. A positive target figure for each fund balance should be set as a measure of fiscal prudence. All excesses should be evaluated for reinvestment in the educational mission.

### Physical Resources

146. The administration should consider extending the team/zone concept to the custodial staffs.
147. Databases and supporting software should be in place to expedite various maintenance tasks, and terminals or computers should be located in each zone.
148. The College should support Zarathustra's coffeehouse as an alternative to alcohol-oriented gathering places.
149. Emphasis from 1994 through 2000 should be on renovation, upgrading classroom interiors, and expansion of existing facilities, including the library, Law School, science buildings, Facilities Management building, and the School of Marine Science.
150. Use of a dedicated and experienced project engineer in combination with a project committee of faculty and staff should be a mandatory component of the College's construction process.
151. Residence halls are especially in need of renovation.
152. Students should have a system that allows for effective communication of maintenance needs to Facilities Management.
153. A handbook of residential and environmental concerns should be written and given to all students as they enter the university.
154. To provide for student accountability in residence halls and to control chronic violators, the Committee recommends use of significant damage deposits, peer-imposed fines, and, in extreme cases, eviction and preventing offenders from registering or graduating.
155. The administration should determine if it is cost effective to renovate and upgrade Ludwell

- Apartments.
156. Plans for renovation of existing structures must address lead paint abatement and estimated costs.
157. A facility dedicated as a residence hall would be beneficial for the School of Marine Science campus.
158. Facilities Management must be represented in the budget planning process.
159. A formal and effective building "proctor system" should be implemented.
160. The College must improve the workplace through employee training, especially for use of more demanding technology. Funds must be allocated to train current personnel to meet the technical demands of new buildings and upgraded equipment.
161. The administration's plans to identify motor pool needs, usage demands, scheduling, and replacement of older vehicles should be undertaken as soon as possible.
162. Facilities Management representatives and the faculty Landscape, Environment and Energy Committee should meet to discuss and address troublesome areas.
163. Approaches to encourage responsible use and pride in the appearance of the grounds and plantings on campus should be fostered.
164. The cross campus roadway now identified in the existing master plan should be eliminated.
165. There should be a formal evaluation of the Lake Matoaka dam and roadway by the Virginia Department of Transportation.
166. Wherever possible, highly erodible areas should be blocked to traffic and walkways modified to prevent them from being used for vehicle access.
167. Mountain bikes should be excluded from areas around the Lake, or at least restricted to improved surfaces.
168. Careful monitoring and maintenance of the grounds should be implemented to preserve the forest in the area of the Matoaka amphitheater.
169. Issues of inadequate space and outdated computer resources in the Campus Police Department should be addressed more directly in the College's facilities planning efforts.
170. To facilitate student access to police resources, the university should consider establishing a Campus Information and Service Office in the University Center or some other central location.
171. The College should aggressively continue active negotiations with the City of Williamsburg to secure the one remaining large parcel of land owned by the city, that is, Berkeley School property.
172. The College should approach the master plan issue from the perspective of redefining the existing plan using in-house expertise, thereby saving perhaps \$75-100 thousand in consulting fees.

### Externally Funded Grants and Contracts

173. A substantial, campus-wide research infrastructure fund should be budgeted annually. If state and private sources are not sufficient, a redirection of grant and contract indirect cost revenues is warranted, as research infrastructure is the most justifiable use of such funds.
174. The institution should follow an aggressively competitive policy in the seeking of grants and



contracts necessary for faculty to pursue legitimate research goals. Such a policy should include cost sharing, when necessary, start-up funds, flexibility in the charge of indirect costs, and so on.

175. William and Mary should establish a high-level administrative position devoted to the fostering of research activity. The title of this position might be Associate Provost for Research.

176. Because staffing of the Grants Office is quite modest relative to peer institutions and current levels of grant activity, a modest expansion of the Office would allow an expansion of services.

177. An annual faculty award for research, comparable to the Jefferson awards for teaching, should be instituted. Also, the College should establish a periodic, multi-purpose brochure describing successful faculty research activities.

## Appendix B

# Data Sources and Conventions

### Data sources:

*America's Best Colleges: 1995 College Guide* (1995) by the editors of *U.S. News & World Report*, 228 pp.

*Higher Education Revenues and Expenditures: Institutional Data, 1991-92* (October, 1994) Research Associates of Washington.

College of William and Mary reports and publications:

"Report of the Advisory Working Group on Undergraduate Enrollments (March 21, 1990), 13 pp. of text, 44 pp. of appendices, tables, and data.

"The College of William and Mary 1993-94 Annual Report: Publications, Scholarly and Artistic Activities, Externally Funded Grants and Contracts, Fellowships (1994), The Office of Grants and Research Administration, 117 pp.

"Student Databook" (August, 1987), Office of Institutional Research.

"University Databook 1992-93" (1994), Office of Institutional Research.

"William & Mary Undergraduate Program Catalog 1994-95" (1994).

Also, data and documents from the Office of Institutional Research and from the Office of Planning and Budget.

### "Constant Dollar" Calculations

For "constant dollar" data, the Steering Committee used "gross domestic product implicit price deflator for state and local government" (U.S. Department of Commerce) [values used: FY84 = 89.4; FY86 = 96.4; FY90 = 113.2; FY91 = 116.9; FY92 = 120.1; FY93 = 123.0; FY94 = 126.1]

### Educational and General Expenditures (E&G)

The College reports each year to the U.S. Department of Education through the Integrated Postsecondary Education Data System or IPEDS (before 1987 it was the Higher Education General Information Survey or HEGIS). "Educational and General" expenditures include Instruction (ac-

tivities which are part of the university's instructional program, including departmental research and public services which are not separately budgeted), Research (research commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution), Public Service (primarily noninstructional services beneficial to groups external to the institution), Academic Support (support services that are integral to the institution's primary mission of instruction, research, and public service such as expenditures for museums, galleries, audio/visual services, academic computing support, academic administration, personnel development, and course and curriculum development), Libraries (generally considered part of "academic support" but also listed separately on IPEDS reports), Student Services (admission and registrar activities and other activities whose primary purpose is to contribute to students' emotional and physical well-being and to their intellectual, cultural and social development outside the context of the formal instructional program), Institutional Support (day-to-day operational support such as general administrative services, executive direction and planning, administrative computing, and legal and fiscal operations), Operation and Maintenance of Plant (services and maintenance to grounds and facilities; also included are utilities, fire protection, property insurance, and similar items), Scholarships and Fellowships, and Transfers (transfer of current funds to other funds arising out of binding legal agreements; ordinarily related to the provision of debt service on educational plant or to grant agreements requiring matching contributions from the institution).

For the Commonwealth of Virginia, E&G expenditures do not include Scholarships and Fellowships or Sponsored Research. Therefore, "federally reported" E&G expenditures are larger than "state reported" E&G.

### Enrollment Figures

A "headcount" student is one enrolled for one or more semester credit hours.

"Full-time equivalent" (FTE) is a number derived by dividing the actual number of credit hours for which a student is registered by the normal course load for that classification of stu-

dent, for example, 15 semester credit hours for an undergraduate.

Internal FTE numbers are those reported in the "University Databook" from actual credit hour figures. For comparison with other institutions, IPEDS-reported numbers are used which are based partly upon dividing the number of part-time students by a factor rather than upon total student credit hours. Therefore, IPEDS-reported numbers differ slightly from internally known (and therefore more accurate) numbers.

### Peer Groups

**1. State Salary Peer Group:** This group of institutions was developed in a collaborative effort among staff members of the Executive and Legislative branches of state government, the State Council of Higher Education for Virginia, and institutional representatives. It was developed to serve as the benchmark salary group in establishing the College's appropriated faculty salary average. The group consists of institutions having similar characteristics of size, distribution of degrees conferred by level and discipline, research expenditures, and so forth. National financial and enrollment data were used to statistically cluster institutions, and from among those most closely clustered with William and Mary, final selections were made based upon qualitative factors. No other Virginia institutions are permitted in William and Mary's peer group.

**2. Alternate Peer Group:** This group was developed subsequent to the development of the State Salary Peer Group by the Advisory Working Group on Undergraduate Enrollments in 1990. Using a methodology similar to that used to identify the State group, additional parameters related to student attributes and institutional characteristics were added to the cluster analysis program: 1) SAT scores of entering freshmen; 2) percent of entering freshmen in the top ten percent of their high school classes; 3) admission acceptance rate; 4) enrollment yield; 5) student/faculty ratio; 6) research expenditures per faculty member; and 7) ratio of dormitory capacity to number of students.

#### State Salary Peer Group Institutions:

Boston College  
Clark University  
Dartmouth College  
Florida State University  
SUNY at Albany  
SUNY at Binghamton  
Tulane University

University of California at Santa Barbara  
University of Colorado at Boulder  
University of Connecticut  
University of Delaware  
University of Kansas  
University of New Hampshire  
University of North Carolina at Chapel Hill  
University of North Dakota  
University of Notre Dame  
University of Rhode Island  
University of Vermont  
Wake Forest University

#### Alternate Peer Group Institutions:

Boston College  
Brown University  
Dartmouth College  
Georgetown University  
Miami University (Ohio)  
Pennsylvania State University  
Princeton University  
Rutgers University  
SUNY at Albany  
SUNY at Buffalo  
SUNY Binghamton,  
University of California at Berkeley,  
University of Colorado at Boulder  
University of Connecticut  
University of Illinois  
University of Massachusetts  
University of Miami  
University of New Hampshire  
University of Notre Dame  
University of Pennsylvania  
University of Vermont  
University of Virginia  
Villanova University  
Wake Forest University  
Wesleyan University

## Appendix C

# Some Ten-Year Changes

	1983-84	1993-94	% Increase
<b>STUDENT HEADCOUNT AND FTE's<sup>1</sup></b>			
<b>Total Headcount</b>	<b>6607</b>	<b>7586</b>	
Undergraduate Headcount	4731	5320	14.8%
Female	2518	2948	17.1%
Male	2213	2372	7.2%
Asian	60	317	428.3%
Black	146	350	139.7%
Hispanic	46	91	97.8%
Graduate/Professional Headcount	1876	2266	20.8%
% Graduate/Professional	28.4%	29.9%	
<b>Total FTE Students</b>	<b>6325</b>	<b>6964</b>	<b>10.1%</b>
FTE Undergraduates	4991	5152	3.2%
FTE Graduate/Professional	1334	1812	35.8%
Arts and Sciences	238	579	143.3%
Business	288	312	8.3%
Education	194	302	55.7%
Law	538	533	-0.9%
Marine Science	76	86	13.2%
% Graduate/Professional	21.1%	26.0%	
<b>FACULTY FULL-TIME HEADCOUNT</b>			
Arts and Sciences	278	320	15.1%
Business	34	41	20.6%
Education	29	31	6.9%
Law	21	25	19.0%
Marine Science <sup>2</sup>	12	53	341.7%
<b>Total</b>	<b>374</b>	<b>470</b>	<b>25.7%</b>
<b>Total (without Marine Science)</b>	<b>362</b>	<b>417</b>	<b>15.2%</b>

1. All enrollment data from Fall semesters.

2. In 1983-84, 42 VIMS faculty were considered classified employees and only 12 tenured or tenure-eligible.

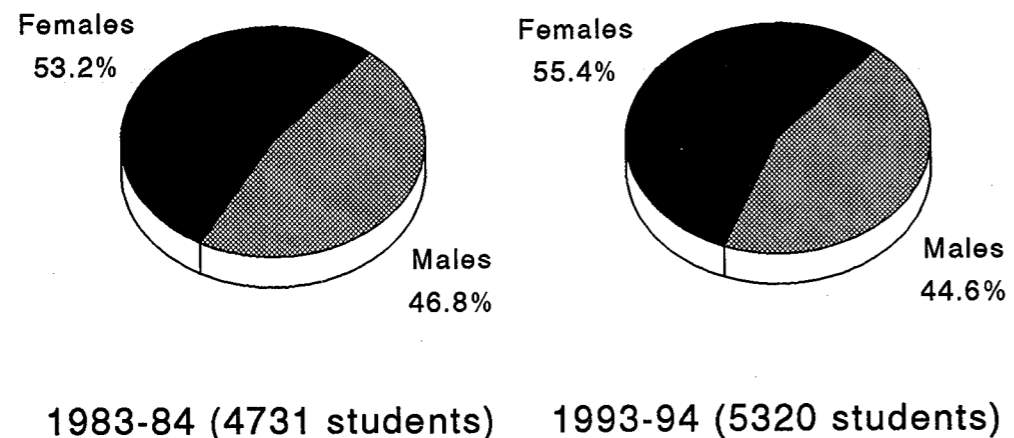
	1983-84	1993-94	% Increase
<b>REVENUES AND EXPENDITURES</b>			
Total Revenues (constant dollars) <sup>3</sup>	\$57,279,540	\$125,446,862	119.0%
		\$88,936,951	55.3%
Total Expenditures (constant dollars)	\$56,972,612	\$129,416,200	127.2%
		\$91,751,057	61.0%
E&G Expenditures (constant dollars)	\$37,809,016	\$84,889,973	124.5%
		\$60,183,692	59.2%
E&G per FTE Student (constant dollars)	\$5,978	\$12,190	103.9%
		\$8,642	44.6%
<b>YEARLY UNDERGRADUATE TUITION AND FEES</b>			
In-State Tuition (constant dollars)	\$778	\$2,730	250.9%
		\$1,935	148.7%
In-State Fees (constant dollars)	\$998	\$1,684	68.7%
		\$1,194	19.6%
In-State Tuition and Fees (constant dollars)	\$1,776	\$4,414	148.5%
		\$3,129	76.2%
Out-of-State Tuition (constant dollars)	\$3,452	\$10,920	216.3%
		\$7,742	124.3%
Out-of-State Fees (constant dollars)	\$1,238	\$1,684	36.0%
		\$1,194	-3.6%
Out-of-State Tuition and Fees (constant dollars)	\$4,690	\$12,604	168.7%
		\$8,936	90.5%

3. Constant FY 1984 dollars calculated from U.S. Department of Commerce "Gross Domestic Product Implicit Price Deflator for State and Local Government."

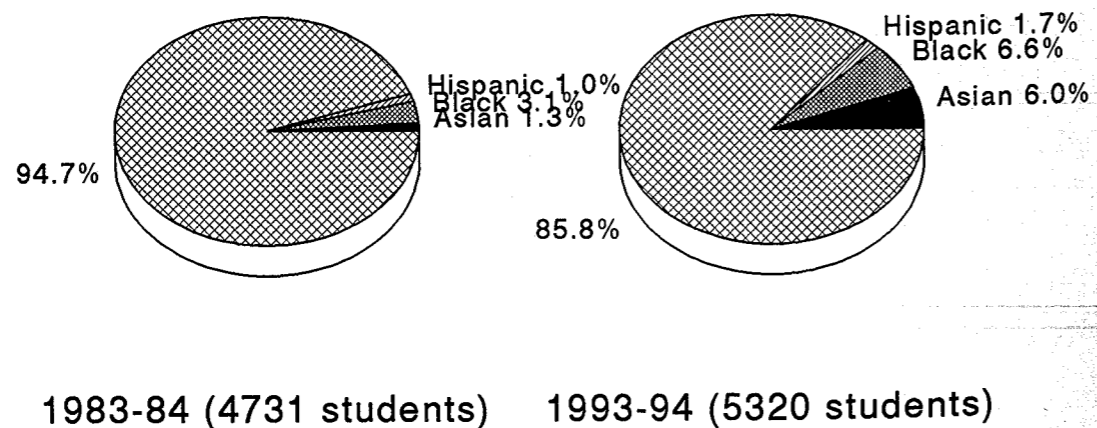
	1983-84	1993-94	% Increase
<b>DEGREES GRANTED</b>			
<b>Baccalaureate Degrees (total)</b>	<b>1049</b>	<b>1288</b>	
Female	569	745	22.8%
Male	480	543	30.9%
Asian	15	68	13.1%
Black	28	86	353.3%
Hispanic	12	19	207.1%
Humanities	242	351	58.3%
Social Sciences	412	541	45.0%
Sciences	217	255	31.3%
Business	178	141	17.5%
			-20.8%
<b>Master's Degrees (total)</b>	<b>249</b>	<b>485</b>	
Arts and Sciences	58	142	94.8%
Master's of Business Administration	96	168	144.8%
Education	76	153	75.0%
Law	13	8	101.3%
Marine Science	6	14	-38.5%
			133.3%
<b>Educational Specialist Degrees (Ed.S.)</b>	<b>53</b>	<b>37</b>	
			-30.2%
<b>Law Degrees</b>	<b>175</b>	<b>196</b>	
			12.0%
<b>Doctoral Degrees (total)<sup>4</sup></b>		<b>37</b>	
Arts and Sciences Ph.D.'s	9	18	57 54.1%
Marine Science Ph.D.'s	12	15	100.0%
Education Ed.D.'s	16	24	25.0%
			50.0%

4. Doctoral degrees do not include Psy.D. degrees (see p. 21). Psy.D. recipients are currently recorded as graduates of Old Dominion University by the State Council of Higher Education for Virginia (see p. 61-62).

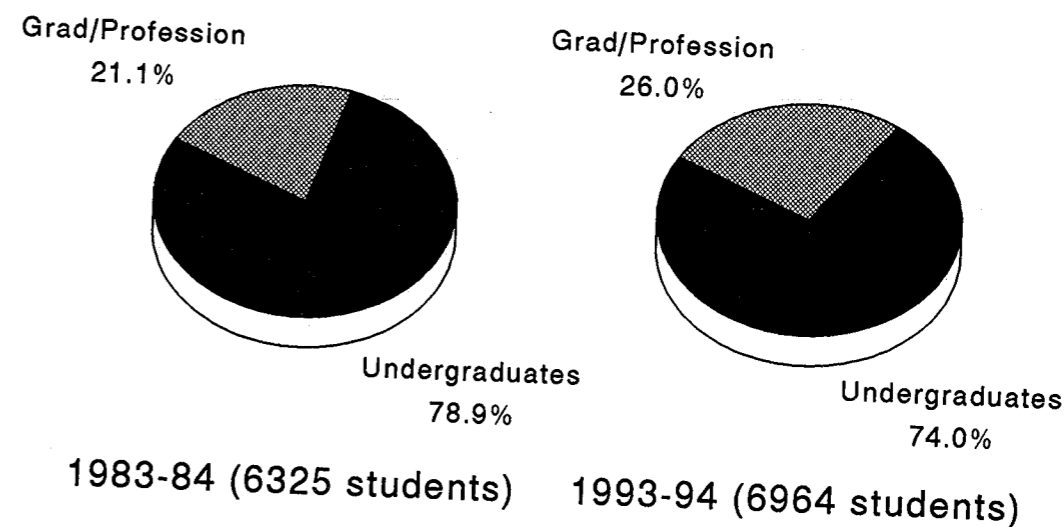
## Undergraduate Headcount Female and Male



## Minority



## FTE Students (Fall) Undergraduates and Grad/Professional



## Graduate/Professional Only

