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October 3, 1996

**Mr. James T. Rogers
Executive Director
Commission on Colleges
Southern Association of Colleges and Schools
1866 Southern Lane
Decatur, Georgia 30033-4097**

Dear Jim:

I am pleased to send you five copies of the College of William and Mary's follow-up report addressing the visiting committee's recommendations as requested.

I wish to express my thanks to you and Bennett Hudson as well as the members of the Reaffirmation Committee for the constructive and positive nature of the report.

Most cordially,

**Timothy J. Sullivan
President**

**TJS:ma
Enclosures
cc: Mr. Bennett J. Hudson**

The College of William and Mary Follow-Up Report

Section 3.2 (Planning and Evaluation: Administrative and Educational Support Services), Recommendation 2

Provide documentation demonstrating that a planning and evaluation process has been operational in all administrative units and educational support services, and that the results of evaluation have been used to improve these units and services.

In its 15 November 1995 response to SACS, the College stated that

Beginning in January 1996, all administrative and educational support services will be asked to submit with their annual budget requests, their statement of purpose and a set of goals and objectives for the next fiscal/academic year. Thereafter units will be asked to report each year on their progress towards the achievement of their goals and objectives and to state their goals for the coming year. Progress towards the goals will be evaluated by a newly established Budget and Priorities Advisory Committee. As appropriate, this committee will hold hearings at which the units may present their budget requests and their goals and comment on their progress towards meeting goals set earlier. The results of these evaluations will help to determine budget levels for the next fiscal/academic year.

For the reasons given below, our plan to respond to this recommendation has deviated slightly from what was proposed to SACS last November.

During its strategic planning process in 1993-94, the College conducted a unit analysis of all administrative and educational support service offices (see attachment I). These documents were critical to the work of the strategic planning committee. Subsequently, the decision was made, also as an outgrowth of strategic planning, to ask each administrative office to submit: (1) a plan for a ten percent cut in budget, and (2) a request for return of up to fifty percent of that cut provided that a proposal a proposal was also submitted to restructure of the work of the office.

The outcome of these actions have included: eliminating management layers in various units, consolidating management responsibilities, improving efficiency through an expanded use of technology, re-engineering administrative processes, reducing the scope of selected operations, and privatization of some activities. Specifically, between the Board of Visitors' approval of the strategic plan in November 1994 and the present time the following actions have been taken:

- Elimination of approximately 40 Educational and General and auxiliary enterprise positions through streamlining or consolidation actions.
- Elimination of selected administrative or academic programs/activities including the

Office of Special Programs, the Copy Connection, and the Commonwealth Center for the Study of American Culture.

- Privatization of selected university activities including bookstore operations, vehicle maintenance, warehouse operations, and the maintenance and custodial care for selected facilities.
- Merging of the duties of the Vice President for Administration and Finance and the Vice President for Planning and Budget into a single Vice President for Management and Budget.
- Consolidation of activities within the College's Office of Affirmative Action resulting in elimination of one management position.
- Restructuring of functions within the Provost's Office resulting in elimination of an associate provost level position.

While much of the planning and evaluation done as a result of strategic planning resulted in downsizing, some offices (e.g. the offices of admission and multicultural affairs) were identified as needing additional resources to accomplish their mission; very few were cut by the full ten percent. However, the process did result in \$1.4 million being made available for reallocation to the academic program and those offices that directly support the academic program.

In the spring semester of 1995-96 the newly established Budget and Policy Advisory Committee (formed in response to one of the SACS recommendations) began work, to advise the administration on budget requests from units, the reallocation of the funds realized from administrative cuts and the distribution of new state-provided funds, and to assume responsibility for on-going planning. The evaluation of needs and mission resulting from strategic planning was critical to the decisions made, which were to provide:

- \$950,000 and 13 positions for curriculum enhancements including implementation of the revised undergraduate curriculum, support for academic clusters, and selected academic program staffing needs.
- \$630,000 for technology enhancements including staffing in support of academic and administrative system changes and infrastructure investment (networks, faculty start-up, etc.).
- \$130,000 in support of library materials and operations.

- \$100,000 for student services support including base funding for a public service program and expanded support for international students.
- \$290,000 in academic support areas including admissions, financial aid, ADA compliance, etc.

Until this work was completed, as it was by the end of the 1995-96 academic year, it seemed unwise to introduce a new planning and evaluation process.

A new planning cycle will begin this academic year as we prepare to submit our biennial budget request to the state. Tying into that process is a memorandum (see attachment 2) that will be sent to every administrative unit and educational support service unit, asking them to review and if necessary revise the mission statements written in 1994 and also to set goals and objectives for the 1997-99 biennium. Responses are due by 31 January 1997. These documents will be considered in conjunction with the budget requests to be submitted later in the year.

From now on units will be asked to update their mission statements and goals and objectives every two years as part of the College's biennial budget process. Feedback will be provided to the units, and their success in achieving their goals and/or the obstacles to that achievement will be taken into account in the College's budget requests to the state and in the allocations of new money or the reallocation of existing resources.

The College of William and Mary has used planning and evaluation of all offices to bring about significant changes in its operations over the last two years and remains committed to on-going evaluation of its administrative structure, services, activities, and technology use to insure effectiveness and efficiency.

Section 3.3 (Institutional Research) Recommendation 3

Provide documentation demonstrating that the institutional research function is regularly evaluated, and that the results of the evaluation have been used to improve the institutional research function.

Institutional Research has been and will be evaluated as part of the process described in response to Section 3.2 above.

Section 4.81 (Selection of Faculty) and Section 4.8.3 (Part-Time Faculty), Recommendation 4

Demonstrate that recruitment and appointment policies and procedures, including those for part-time faculty, are accurately described in the faculty handbook or other published documentation.

The College's response letter dated of 15 November 1995, explained that the draft of the *Faculty Handbook* had been submitted to the State Attorney General's Office (which provides legal counsel to the College) in the summer of 1995. The very extensive comments and requests for revision from the SAG required considerable redrafting and frequent negotiations with the SAG's office. Not until April 1996 did the SAG approve the revised draft which was then discussed and approved by the Faculty Assembly in May 1996.

William and Mary's procedures call for each of the five separate Faculties (Arts and Sciences, Business, Education Law, and Marine Sciences) to approve the *Handbook*. That process could not begin until this fall. As of this date, four of the Faculties have approved the draft; the fifth will vote in early October. Assuming approval, the Handbook will go to the Board of Visitors for approval at its meeting on 14 and 15 November 1996. A copy of the draft *Handbook* is enclosed (attachment 4), and a copy of the approved *Faculty Handbook* will be sent to SACS following Board action.

Work on a part-time faculty handbook has begun but there was insufficient staff time available to complete it while the *Faculty Handbook* was still under revision. It will be completed during this academic year.

Section 6.4.1 (Space Management), Recommendation 5

Provide documentation that the space assigned to Science, Law, and the Library is sufficient for the effective conduct of their respective functions. If state or other funding has not been obtained for the currently planned expansions or renovations, the institution should supply evidence demonstrating that other arrangements have been made to render the assigned spaces adequate for the effective functioning of those units.

Science Building: a new science building, Tercentenary Hall (46,111 sq. ft), was opened in the fall of 1995 and houses the Departments of Geology, Computer Science, and Applied Science. This building provides ample laboratory and office space for those departments. The space previously occupied by the Department of Geology has been renovated and assigned to the

Department of Physics. Some of the space occupied by the Department of Computer Science has been renovated and made available to the Department of Mathematics. During the summers of 1995 and 1996 space in Rogers Hall has been renovated for the Chemistry Department.

The guidelines established by the State Council of Higher Education do not justify the expansion of the science buildings. The College will continue to renovate space within the existing buildings, as well as to ask the state to fund major renovation work and to press for expansion.

The Library: the Commonwealth has provided \$1 million in planning money for the renovation and expansion of the Library. Architectural and engineering drawings are now being produced. The College will request construction money from the state effective 1 July 1997. In addition, the College has begun a fund raising campaign for \$6 million to construct a special collections wing. Approximately \$1 million has been raised and a number of proposals are presently under consideration by donors.

The College is constructing an off-site storage facility for the library which will be completed by the end of the academic year 1996-97. This facility will house approximately 240,000 volumes from both the main and law libraries as well as 8,600 shelf feet of archival materials from the main library, so significantly reducing the pressure on the existing facilities.

The Law School: pressure has been relieved by the addition of modular classroom space which has been in use since the beginning of this academic year. As mentioned above, the off-site storage facility will hold little-used volumes from the Law library.