



NCHEMS

**Report of
Northwestern (Louisiana) State University
Institutional Review**

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INTRODUCTION

The National Center for Higher Education Management Systems (NCHEMS) was employed by the University of Louisiana System (ULS) to undertake an institutional review of Northwestern State University (NSU). The charge was to review all aspects of the University's operations in order to identify:

- Action steps that could be taken to strengthen the University and improve the effectiveness of its operations.
- Action that could be taken at the System level to help NSU implement improvements.

In order to fulfill this charge, NCHEMS formed a project team comprised of four individuals with many years of experience in higher education and institutional leadership. These individuals were:

- Dennis Jones, President of NCHEMS
- Peter Ewell, Vice-President of NCHEMS
- Nathan Church, Vice-President for Student Life and Development at St. Cloud State University
- Jack Magruder, President Emeritus of Truman State University

(Please see professional qualifications of project team members in Appendix A.)

In order to prepare for the visit, NCHEMS conducted several data analyses addressing revenue, expenditure and staffing patterns at NSU as compared to two different groups of peer institutions. One group consisted only of institutions in the Southern Regional Education Board

(SREB) states and is used by the Louisiana Board of Regents in its funding formula calculations.

The other consisted of institutions drawn from possible peers in all 50 states and selected by NCHEMS explicitly for this study. The criteria for selection included budget and enrollment size, extent of involvement in graduate education, and mix of academic programs.

Team members also reviewed a wide variety of materials made available by NSU or available on the University's website. Finally, the team members conducted an extensive series of interviews with:

- University leadership—the President and all Vice Presidents
- Deans from every college
- Department heads of academic and administrative units
- Enrollment management and recruitment staff
- Randomly selected faculty including, but not limited to, Faculty Senate leadership
- A number of randomly selected students from various colleges, including student leaders
- State legislators from the region
- The mayor of Natchitoches
- The Commissioner and Associate Commissioners of the Louisiana Board of Regents
- ULS executive staff

Based on these activities, the members of the project team developed a set of overarching observations about the University, which are reported in Section B of this document. Section C contains recommendations offered for consideration by NSU and the ULS based on these observations.

GENERAL OBSERVATIONS

In this section we report a set of key findings synthesized from all the sources of evidence listed in the prior section. The intent is to identify issues of strategic importance rather than to present a long list of particulars that could have the effect of obscuring rather than illuminating the handful of critical issues facing Northwestern State University.

1. The University is operating on a very limited resource base.

Regardless of the basis of comparison, the data tables presented in Appendix B reveal that:

- The overall level of funding is low (Figures 1 and 2).
- The levels of resources coming to the University from each of the component parts of its revenue stream are low (Figures 3-9).
- Only in the area of (Federal) grants and contracts does NSU approach parity with other institutions in its peer groups (Figure 7). Much of this funding is for need-based student financial aid and reflects the reality that NSU serves a rural part of the state, the residents of which are more financially disadvantaged than many from other parts of the state (Figure 10).

The fact that the institution is operating on a very lean resource base is impacting the University in two important ways. First, it is severely limiting resources available for maintaining current assets and for making investments that could strengthen the University. More importantly, real or imagined, this financial situation has

psychologically paralyzed the campus, creating a widely-used excuse for inaction: “We can’t do (fill in the blank) because we don’t have the necessary resources.”

2. The resources that are available are efficiently utilized.

A review of expenditure and staffing patterns indicates that:

- Expenditures in **all** functional areas within the institution are relatively low (Figures 11-19). There is no evidence, for example, that expenditures are being made to support administration rather than instruction or other student-related functions.
- Expenditures on academic support functions are low, suggesting that funding for libraries and computer support may not be sufficient to keep the institution attractive to students, faculty, and accrediting agencies (Figure 15).
- Expenditures on scholarships and fellowships is the one area where NSU exceeds the peer group median (Figure 19).
- Staffing is moderate in all categories - NSU has more students per employee than most other institutions in their comparison groups. This is uniformly true for faculty, administrators and clerical staff (Figures 20-22).
- NSU is more reliant on part-time faculty than most other peer institutions (Figure 23). (This may be due to Northwestern’s heavy involvement in off-campus instruction and/or because part-time faculty members require a lower financial commitment than full-time faculty members.)

When taking the broad view, the picture that emerges is one of an institution that has allocated its limited resources in responsible ways. Further, NSU can rightfully boast that it has ensured early on that 100% of its eligible programs were nationally accredited—a considerable accomplishment considering its limited resources.

Nothing that points to unwise resource use emerges from these aggregate-level comparative analyses.

3. Throughout the institution, there are many highly qualified people doing the right things and doing them well.

All members of the project team were impressed with the level of commitment to the institution and its success exhibited by the individuals who were interviewed. While they are working very hard to do their jobs well—and succeeding—there is widespread reluctance to take on anything new. There is a general sense that University personnel are working to the limits of their capacity. There is little appetite for changes or innovations which would require a further investment of time or energy. The entrepreneurial energies of NSU are focused on expanding business as usual rather than expanding into new areas.

Because of the impact of selective admissions at NSU—and the fact that the institution has not developed strategies to accommodate the new admissions criteria as rapidly as other ULS institutions—we paid particular attention to those parts of the University most directly involved in implementation of the new criteria. In both the Admissions and Student Aid Offices we found very competent staff with a plan for helping the institution meet a new set of conditions with the least possible disruption. Past problems (i.e.,

staffing) in the financial aid office have been rectified and the office appears to be well run. We confirmed this during discussions with legislative and System auditors.

4. Throughout the institution and the community there is great personal affection for and loyalty to the President.

We found that people on campus genuinely like and have feelings of great loyalty for President Webb. This great personal loyalty caused obvious conflict for individuals who were concerned about a leadership style that most often excluded them from key decision processes and often left them uninformed about the results of—and reasons for the conclusions reached through—these processes. To the extent that subjects identified these problems, their motivation appeared to be more a concern for the institution and its students rather than any animosity toward the President.

5. The issues of enrollment management and identification of the appropriate student mix for the institution remain major—and unresolved—issues.

For several reasons, NSU has placed a priority on enrollment growth. Among the factors driving this priority are:

- Vivid memories of a time when it was rumored that the institution might face closure because of insufficient enrollments. While no such suggestions have been proffered in recent years, the fear that this topic will reemerge is palpable. There is a generally-held conviction that the University must never again be faced with this particular threat. As a result, enrollment growth has been sustained as the dominant organizational priority.

- Additional students represent the only source of new revenues to the University. In a circumstance where revenues are extremely limited and any increases in State funding do little more than cover State mandated cost increases (such as insurance), students become the obvious source of additional unrestricted revenues. Since tuition increases have been capped (or prohibited), the perceived path to additional revenues is to enroll more students. This policy requires a serious study of the financial costs and benefits of enrollment growth. It is especially important for NSU, for example, to assess the effectiveness of its current tuition discounting practices in order to ensure that discounts are going to students who are being retained.
- The City of Natchitoches is supportive of the University and encourages its growth. The University is the economic engine for the city. In a town that has tourism as a major economic sector, students are the equivalent of long-term tourists. The University's role in its symbiotic relationship with the city is to keep growing, both because of the direct benefits associated with more students and the importance of growth in University employment.

NSU's priority on enrollment growth is connected in a complex way with the historical postsecondary education role that the University has played in northwest Louisiana. For many years NSU has also provided essential services to the region usually supplied by a community college. It was the primary point of access to higher education for students in a part of the State that is rural (with no major urban areas) and poor. For good and sufficient reason, it was an open-door institution. Because of this history, service to a set of students who will not meet the new eligibility requirements is viewed by most people

at NSU as the academically right thing to do. If these students do not get a chance at NSU, they will not get a chance anywhere. It is also viewed as the economically necessary thing to do. In a part of the State without a large population and without a lot of well-prepared high school graduates, those students who would normally be community college students in other parts of the country are an important client group at NSU.

These factors have combined to create conditions in which NSU has enrolled many students who are poorly prepared for college success. The six-year graduation rates stand as testimony to this statement (Figure 24). These conditions are not going to be changed without pain—to both the institution and the students in the region. The Board of Regents Master Plan for selective admissions is projected to have a greater impact on NSU than at any other institution in the ULS, creating not only revenue problems but fears associated with enrollment declines. Reasons cited for this projected decline include a) the practice of enrolling more students regardless of academic preparation to offset low funding, and (b) the attitude that it is the right thing to do for students who may not have alternatives. NSU has only recently developed strategies for dealing with the consequences of selective admissions—too recently for these strategies to have had the desired effects.

At the regional level, political and civic leaders are concerned that those students deemed ineligible for admission to NSU will no longer have an accessible point of entry to postsecondary education.

There is a compelling need for higher education policymakers in Louisiana to devise a strategy for serving students in NSU's service region who do not meet the criteria for selective

admissions. With strong encouragement from the ULS President, Bossier Parish Community College (BPCC) and NSU have entered into an agreement in which ineligible under-prepared students will be enrolled on the NSU campus in BPCC courses. Students enrolled under this agreement may accumulate 12 semester credit hours, the threshold for transferring credits to NSU without having to meet the same eligibility standards as students who bring no (or fewer) transfer credits. It is unclear whether students participating in this endeavor are community college students or NSU students and thus questions remain about whether they should be paying community college tuition or NSU tuition prices (both of which are relatively low by peer comparisons). Confusion about these details, while critical to the success of the 2005 admissions standards, is not surprising at this stage of the emerging community college system in Louisiana. While this cooperative endeavor addresses an immediate problem, there is a need for long-term strategies to ensure that more academically prepared students are attending NSU and that the campus environment is attuned to their needs in order to ensure student success.

While the arrangement with BPCC is one element of a larger NSU strategy to deal with the enrollment consequences of selective admissions, there are other important initiatives that have received the support of higher education policy leaders at the Board of Regents and UL System that are showing signs of success. These initiatives include:

- Efforts to improve student retention—an effort that has in fact begun to yield positive results over the course of the past four years as indicated in Figure 26.
- More focused recruiting of additional transfers from BPCC and elsewhere.
- Serving more students through distance education.

- Taking advantage of increasing admissions standards in Texas to recruit more heavily in the eastern part of that state. Texas students must earn a composite ACT score of 23 (with a minimum of 19 on the math and/or English sections) or pass a State test to be admitted into Texas public universities.

All of these actions are positive and appropriate. However, there should be a long-range strategy designed to ensure that more students in northwest Louisiana take the TOPS curriculum and exit high school fully eligible for admission to NSU and thus enter with a TOPS scholarship. If this strategy is successfully implemented, NSU will be able to serve more academically prepared students from its immediate geographic area.

As a final point regarding the advent of selective admissions, it should be noted that the students interviewed by team members viewed higher standards in a very positive light. They recognized—and freely stated—that some of the students admitted to NSU did not belong there. They noted the dilution of their own academic experiences, the potential devaluation of a degree from NSU, and the social problems generated in the dorms and elsewhere on campus by students who were “there for the wrong reasons” or “not prepared to be successful.”

6. There appears to be insufficient focus on developing a programmatic market niche for NSU.

Perhaps because of the anxiety surrounding selective admissions and the necessary emphasis on recruitment of better prepared students, less attention has been given to building a set of programmatic and service delivery capacities that will set NSU apart. This is not to say that NSU has no strengths upon which to build. Actually, there are

many—largely centered around the University’s Unique Areas of Excellence (see Appendix C). Among the strengths we would note are:

- Longtime strengths in teacher education that continue to be widely recognized.
- A sizable nursing program on which health care providers throughout northwest Louisiana depend.
- A distance education program that has generated much of the enrollment growth for NSU over the past few years.
- A computer information systems program that has graduated award-winning students, indicating an institutional core competence.
- The presence of the Scholars College at the University.
- The Louisiana Arts and Science School located on the edge of the campus.
- A new recreation facility that will open in the coming academic year adding a missing dimension to campus life and thus become a great recruitment tool.
- The City of Natchitoches—an historic community that provides a distinct environment for an educational institution.

The University thus has numerous assets on which to build. But it is only in the first stages of developing a clear strategy for utilizing these assets to create a distinctive market niche within the postsecondary education enterprise of Louisiana.

7. Specific aspects of campus residence life require prompt and significant attention.

NSU is a beautiful campus in an attractive, small community. These characteristics typically translate into a campus environment that could be sold as “safe, nurturing, and conducive to student success.” Overall, it is indeed a safe campus. However, there are conditions on the campus that threaten this potential advantage. Professional staff and students note that Rapides Hall—an older residence hall falling into some decay—has been the site of several incidents of student unrest as well as disciplinary problems. The University has scheduled Rapides Hall for demolition this summer, to be replaced by a new, privately built and managed residence center. Completing this modern, attractive facility as planned is critical to the University’s efforts to attract better students. Higher admissions standards should also yield a more serious, success-oriented resident student body and serve to eliminate the current small, but visible, number of students who see attending the institution as a “play year” between high school and the job market. In the meantime, the academic status of all current dormitory occupants should be immediately scrutinized in order to ensure the legitimacy of their presence and to decrease the potential for disruption in Rapides Hall.

8. Communication with respect to key decisionmaking is an important unresolved issue for NSU.

Developing strategies for dealing with short-term financial problems and the long-term future of the institution demand collaborative decision-making; however, teamwork at the University is not as good as it should be. Key decisions have often been delegated to individual vice-presidents (or other individuals) who develop solutions largely independently of one another. Furthermore, there are few opportunities or venues, such

as regular Cabinet meetings, where communication and joint decisionmaking can take place.

Because so many of the key decisions within NSU revolve around finance matters, the Chief Financial Officer (CFO) is unusually prominent in overall planning. An example of this is the contingency plan for Fiscal Year 2006, the year in which selective admissions will likely lead to enrollment decreases and revenue shortfalls. Everyone on the campus (and beyond) recognizes that the next fiscal year could be fraught with economic problems for NSU. A strategy for dealing with this threat has been developed—and is being implemented—by the CFO. The strategy involves holding funds initially targeted for expenditure on nonrecurring items, not filling positions, and using recurring dollars for one-time expenditures. A review of this strategy indicates that its components are generally reasonable and prudent. But few individuals other than the CFO are aware of the details and potential impact of this strategy. Further, there is no effective mechanism to communicate the strategy to Deans and other unit heads so that budget and personnel decisions can be understood.

By improving channels of communication and developing more participatory decisionmaking approaches, NSU can create the conditions for it to:

- Develop an institutional agenda and create an environment that harnesses the collective talents of faculty and staff.
- Create an atmosphere of team work necessary to achieve common purposes and address future challenges.

- Project an image and an agenda to external stakeholders that the leadership team has a plan to recruit, retain, and graduate more and better-prepared students.

In sum, we see an institution that has many assets and has the possibility of a bright future.

However, we also see an institution that may be at risk in its upcoming regional accreditation review, in its ability to attract and retain faculty and students, and in its ability to attract the support of the political and education policy leaders of the state.

RECOMMENDATIONS

In this section we present a series of recommendations, most strategic but some tactical, that we believe will contribute to the strengthening of Northwestern State University as an institution of higher education. Additionally, these recommendations could position NSU as a strong contributor in addressing the issues emerging as the strategic agenda for the State of Louisiana such as improving adult literacy, providing more efficient universal health care, and expecting higher academic standards for all students leaving high school and entering four-year universities. Some of our recommendations may appear obvious, but NSU is an institution that has allowed key elements of its managerial infrastructure to go untended. It is critical that this infrastructure be rebuilt as the first step toward institutional revitalization.

- 9. The NSU current strategic plan should be reviewed and if necessary reinforced by the “leadership team,” internal and external stakeholders, as well as input and perhaps assistance from higher education policymakers.**

This review of the strategic plan should specifically address the following key questions:

- a. **Which students and other potential beneficiaries should be served by NSU?**

For example, NSU should focus specific energy and resources on:

- Certain high school graduates from specific parts of the State who are academically prepared to succeed
- Teachers who need additional certification
- Nurses—both pre-service and continuing professional education
- Transfers from certain two-year institutions

- Local employers who wish to upgrade education and/or work skills
- Employers in selected industries

All institutions have multiple student bodies. It is important that NSU identify those that it is (or will strive to be) particularly intent upon, and capable of, serving.

b. Which programs are being emphasized?

The institution has several programmatic strengths. The questions are, “Which ones are to be emphasized?” and “How can these strengths be integrated?” so that NSU develops a unique niche based upon existing academic strengths.

c. What comparative advantages are to be emphasized and exploited?

There are options in this regard. Among the possibilities are particular expertise in delivering distance learning through various modes, a relatively small faculty-student ratio, a commitment to student success, and a safe environment supported by the campus community, the City of Natchitoches, and by the legislative delegation.

The NCHEMS project team does not presume to answer these questions on behalf of the University. The members of the campus community led by the President must work together to develop these answers; if they do not come from within, they will not be “owned” by those who must pursue them. At the same time, we see possibilities for the University and offer one of them by way of illustration.

The historic strength of NSU has been its education programs. Now, perhaps more than ever before, there are needs to improve the education attainment levels of Louisiana citizens and the capacities of the State’s educational institutions. Given the

needs of northwest Louisiana and the educational initiatives of the Governor, there are several possibilities available to NSU, including:

- Through distance delivery, addressing the large Statewide need to help teachers get the certifications they need to meet the mandates of No Child Left Behind.
- Becoming the repository of expertise on how to use technology to teach basic skills to adults. The adult literacy problem in Louisiana is huge. It is unlikely that it can be addressed at the levels required without gaining efficiencies through the use of technology.
- Providing certification programs for teachers of adult education, a serious shortage area identified by the Governor's Adult Learning Taskforce.
- Becoming a "teaching institution" for high school students who attend high schools with limited capacity to teach some of the courses that would help them become better prepared for successful college careers. Northern Louisiana is rural in nature and has many small high schools. It is unlikely that these schools will ever be able to attract fully-certified teachers in some key areas—math and science, for example. Following the example of Northern State University in South Dakota, it would be possible to hire a cadre of certified high school teachers at NSU and have them use distance delivery technology to deliver advanced high school courses to students in small schools.

We want to reiterate that these ideas are illustrative only, but they do serve to indicate how NSU could attractively bundle new initiatives that draw on its basic capacities (education programs, distance-learning know-how, and expertise in information technology). New initiatives do not always require new money. Perhaps the individuals charged with planning just need more support and the effort may need reinforcing by the “leadership team.”

10. Prior to the beginning of the legislative session, NSU should develop the broad outlines of a strategic budget which is directly linked with its overall strategic plan.

Once again, assistance from higher education policymakers can be invaluable. A brief paper describing the concept of strategic budgeting is attached as Appendix D. The underlying idea is simple. It requires the institution to:

- a. Project operating revenues from all sources.
- b. Specify the investment to be made in each of the key assets of the institution:
 - Faculty
 - Other staff
 - Buildings (renewal and renovation)
 - Technology
 - Students (student financial aid and discounts)

Identify key areas of “consumable mandatory expenses” such as utilities, insurance, and custodial contracts.

- c. Make explicit the resources to be held for contingencies and strategic investments (the funds required to make progress on the strategic plan).
- d. Make explicit the tradeoffs to be made when revenues and expenditures are out of balance. Will revenues be increased (which and how)? Will strategic investment funds be sacrificed to pay for other assets? Will deferred maintenance go untended? Will positions be eliminated and the size and shape of the personnel asset structure of the institution be restructured?

This approach requires that the budget be developed from the top down—that the allocation of resources be made at the broad institution level first and then distributed to the organizational units within the institution. This approach is recommended, as opposed to the typical practice whereby the budget is created by assuming the status quo and making marginal adjustments, up or down.

11. The strategic plan and the strategic budget should be linked through processes that broadly involve the campus community.

We have previously noted the communications problems at NSU. Hence, we urge the following:

- a. A planning and budgeting leadership group, comprised of representatives from faculty, staff, students and administrators, be formed and charged with:
 - Compiling the information base required to inform the planning and budget decisions—getting help from throughout the University as appropriate.

- Reviewing and ensuring direct connection of both the strategic plan and strategic budget.
 - Reviewing these tentative proposals with a broad cross-section of the campus community.
 - Recommending strategies to the President and the Cabinet for their acceptance. If modifications are made, the Cabinet, led by the President, should (collectively) make that decision and communicate the rationale to the rest of the campus community.
- b. Leadership for this group be provided by a respected individual from the academic side of the university.

12. A strategy should be developed to improve communication between the Administration and others including Deans, Department Heads, Faculty, Staff and Students as well as external stakeholders.

This should include:

- a. A marketing strategy built around creating and projecting the image of the University which the campus community agrees captures the essence of the institution. Again, there are many options building on institutional strengths and the context and environment in which services are provided. An open discussion in search of a representative marketing slogan can do much to open up lines of communication (and surface conflicting views about the institution that must be dealt with). This process itself can help shape the strategic planning conversation.

b. A fund-raising strategy focused on carrying out the strategic plan. The University is currently engaged in its first major capital campaign. From all appearances, this campaign is well on its way to being a success. In describing his efforts in this regard, President Webb noted that donors do not like to provide support just because the institution is poor; they need a positive reason for giving. The reality is that legislators do not like to provide funds to alleviate poverty any more than do their private sector counterparts; they need a compelling reason to be supportive. Done well, the strategic plan can serve as the basis for the case statement. It identifies an audience(s) in need of services and proposes methods of delivering those services. From this starting point, a case can be made for additional resources (e.g., in the case of the illustration about serving teaching professionals and others through distance learning, a case can be made for technology enhancements, for on-line student services that, incidentally, could also serve on-campus students, etc.). The decision concerning which elements of the package should be presented to outside stakeholders is one that should be decided collectively at the cabinet level and communicated inside, as well as outside, the institution.

13. The ULS should concentrate its “R U Ready?” campaign in the Northwestern service area.

For NSU to be successful within the constraints of selective admissions, it must have access to a larger pool of well-qualified high school graduates. Most of those students will inevitably come from high schools in the northwest part of the State, those high schools that already provide NSU with the preponderance of its freshman class. This means that more students in the middle and high schools in the region will have to be

persuaded to take a challenging high school curriculum and to take advantage of postsecondary education opportunities upon completion of their secondary education.

The ULS could be of great assistance in this endeavor by broadening its “R U Ready?” campaign and initially focusing that campaign on the NSU service region. The System is encouraged to seek the funds necessary to allow it to partner with NSU in this endeavor.

14. Regular Cabinet meetings should be held to systematically review progress on these agenda items and to share other information of interest and central importance to the campus community.

To improve communication at the highest levels of the University, it is critical that:

- a. A regular forum for sharing information be created. The Cabinet is the obvious venue for such discussions.
- b. The forum be used to discuss—and come to agreement on—the key decisions facing the University. Not only must there be a forum, but that forum must be the device for dealing with those issues of central importance to the University.

15. ULS and Board of Regents staff must support NSU as it embarks on new challenges.

Such support should include the following components:

- a. The System requiring periodic updates on progress in carrying out the planning, budgeting and communications strategies. This kind of oversight would signal urgency and identify points at which other kinds of assistance might be useful.

- b. The ULS and the BOR providing technical expertise (or arranging for such to be provided) at key points in the various processes.
- c. The BOR and LCTCS ensuring that a plan is put in place for meeting the needs of students who will lose access to NSU because of selective admissions policy implementation. **What is the state-level strategy for delivering community college services in northwest Louisiana?**
- d. The ULS helping to develop and promote a funding package to assist NSU. NSU is acknowledged as being one of the lowest funded institutions in the State according to BOR formula implementation. If funds are not forthcoming from the Board of Regents to redress this condition through the normal application of the Regent's funding formula, then financial relief to the University must occur by developing an attractive enhancement package that can be presented to funding sources in both the public and private sectors.

16. NSU should take concerted steps to create an environment for students that is not only safe, supportive and academically rigorous, but is perceived as such by all of its students.

Numerous past efforts at improving the campus environment are coming to fruition. The addition of new housing and the demolition of Rapides Hall will yield major improvements. Similarly, the new Wellness, Recreation and Activities Center will be a boon to both recruitment and student life. However, if the full benefits of relatively small size and a supportive environment are to be realized, the University must systematically address the issues reported by students to members of the Review Team (noted in Section B, item 7).

In addition to these recommendations regarding core strategic issues facing the University, we offer the following, more tactical suggestions.

17. Review the application of price discounting policies.

At present, discounts represent about 20% of tuition revenues. Every discounted tuition dollar is a dollar not available for the general operations of the University. The University has the capacity to determine whether or not students receiving tuition discounts can be differentiated from students who do not receive such benefits on matters of persistence and graduation. The question is, “Are the institution’s own student aid funds being utilized in the most effective and cost-efficient manner?”

18. The UL System should consider having the internal auditor report directly to the System auditor for direction.

There has been some turmoil related to the internal auditor’s responsibility. One solution has been to have the auditor report to the Provost for direction and audit plan approval. Auditors in our opinion should be both valued and directed according to a broad plan approved by the System. If the auditor were to receive direction from the System auditor who reports to the System President and the Board, there may be less tension and more auditing completed according to an approved plan. This arrangement may prove beneficial to the auditor, to the President and to the University.

CONCLUSION

Northwestern State University is an institution with a rich tradition of service to its region. Despite the challenges of sustained austere funding levels, the University has developed strengths and achieved successes to be envied. However, the educational, demographic, and economic environments within which the University now exists are changing in important ways, and NSU is faced with the necessity to change itself in order to effectively continue its tradition of service, build on its strengths, and continue its progress. This change will require decisive leadership by the President and effective and pervasive communication with the entire campus community - faculty, staff, and legislators - that care deeply about the success of the students being served.

The members of the project team thank President Webb and all those individuals with whom we met for their help, for their willingness to share their perspectives on the institution and their hopes for its future, and for their many personal kindnesses. We wish all members of the campus community well as they collectively strive to move NSU forward.

APPENDIX A
Professional Qualifications of Team Members

DENNIS P. JONES

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EDUCATION

M.S. Rensselaer Polytechnic Institute, 1964
Major: Management Engineering, with concentration in statistics and operations research
B.S. Rensselaer Polytechnic Institute, 1961
Major: Management Engineering
Minor: Mechanical Engineering

PROFESSIONAL EXPERIENCE

October 1969 to Present

National Center for Higher Education Management Systems (NCHEMS)

December 1985 to present—President
December 1983 to December 1985—Vice President for Planning and Evaluation
July 1975 to December 1983—Associate Director
July 1972 to July 1975—Assistant Program Director
September 1969 to July 1972—Staff Analyst

NCHEMS is a private, non-profit organization that has as its mission the improvement of management in institutions and agencies of postsecondary education. Its emphasis is on the development and use of information in support of planning and strategic decisionmaking.

His areas of expertise are:

- Formula funding and other approaches to resource allocation
- Assessments of the needs of industry in a region or state
- Development of “indicators” that describe the condition of institutions and state systems of higher education
- Approaches to accountability

He is also a nationally recognized expert on the development of standard definitions and organizing principles for the collection, reporting, and exchange of information of all kinds—finances, personnel, facilities, students, and outcomes—across all levels of postsecondary education. The data categories and definitions that he developed—or that were developed under his direction—are now widely recognized as national standards.

June 1961 to October 1969

Rensselaer Polytechnic Institute

Planning Office, Assistant Director. Cooperated in the development of long-range budget projections and capital expansion plans. Performed analyses of student data related to policy decisions concerning admissions and student financial-aid policies.

Business Office, Assistant to the Business Manager. Reviewed business-office operations and policies, developed annual budgets, and monitored capital construction projects. Developed analytic reports for senior institutional officers.

Department of Physics, Executive Secretary. Responsible for administration of business affairs of the physics department, including work assignments of nonacademic personnel and control of the department budget.

PROFESSIONAL AFFILIATIONS AND ACTIVITIES

National Center for Public Policy and Higher Education (NCPPE), Forum on State Policy Implementation—Member and Senior Consultant 1999-

National Postsecondary Education Cooperative (NPEC)—Steering Committee Member, 1998-2001

Western Governors University—Member of Design and Implementation Team, 1996

North Dakota State Board of Higher Education—Chair of Blue Ribbon Commission on North Dakota Higher Education

California State University System—Member of the Steering Review and Oversight Committee for project on Benefits and Costs of Mediated Instruction and Distributed Learning, 1997

U.S. Department of Education—Special study group on educational indicators, 1989 to 1991

Association for Institutional Research—Member

Association for the Study of Higher Education

American Association for Higher Education (AAHE)

Listed in *Who's Who in the West and Who's Who in Finance and Industry*, 1990 to present

Advisory Panel on National Science Foundation University Science Statistics

American Council on Education/National Center for Education Statistics (NCES) Panel on Higher Education Statistics—Member, 1977 and subsequent years

Colorado Department of Education, Task Force on Excellent Schools—1989

Advisory Board, School of Education, Indiana State University—Member—1986 to 1989

Deans' Advisory Council, School of Education, University of Colorado—Member, 1987 to 1991

St. Vrain Valley Schools, Accountability and Accreditation Committees—Chairman, 1979 to 1986

National Planning Group for Development of NCES *Handbook VII—Community Information in Education*—Member

National Planning Group for Development of NCES *Handbook XII -A Classification of Educational Subject Matter*—Member

Planning Committee for Data Components for Comprehensive Planning, an advisory group to the New York Higher Education Facilities Comprehensive Planning Group—Member

U.S. Office of Education, Higher Education Construction Programs Study Group—Member, 1969

SELECTED CONSULTATIONS

Pennsylvania Association of Community Colleges—2001

Planning, finance, and governance of the community college system in Pennsylvania
American Association of State Colleges and Universities—2001

Develop recommendations for aligning institutional implementation tools to foster universities becoming “engaged” institutions

Louisiana Board of Regents—2000-2001

- Recommendations regarding creation of a new community college
 - Needs assessments in three regions of the state
- Western Cooperative for Educational Telecommunications—1999-2001
Develop and test procedures for calculating the costs of alternative forms of instructional delivery
- SUNY Binghamton—2001
Strategic planning and budgeting
- North Dakota Board of Higher Education—2000-2001
Ongoing assistance in revising governance and financing mechanisms for state institutions
- Oklahoma State Regents for Higher Education
State level accountability and performance funding.
- University of Hawai‘i—2000
Workforce development planning
- University of Vermont—1999-2000
Planning and budgeting
- University of Wisconsin Colleges—1999-2001
Planning and budgeting
- West Virginia Legislature—1999-2000
Planning, financing, and governance of the West Virginia system of higher education
- Northern Kentucky University—1998-2000
- Strategic planning and budgeting
 - Recommendations regarding creation of a new community college
- University of North Carolina – Chapel Hill—1998-99
Planning and budgeting
- California State University – Hayward—1998-99
Needs assessment
- National Center for Public Policy and Higher Education—1998
Recommendations and analysis regarding development of a state-by-state higher education Report Card
- Bureau of Indian Affairs—1998
Development of a resource allocation model for BIA colleges
- Nebraska Commission on Postsecondary Education
Recommendations concerning the future of Peru State College
- Portland State University—1997
Strategic budgeting
- California State University—1997
Needs assessment
- Kentucky Governor’s Office—1997
Planning, finance and governance of higher education in Kentucky
- Northeastern Illinois University—1997
Strategic budgeting
- Oklahoma State Regents for Higher Education—1997-98
Policy regarding establishment of learning centers and distance education
- New Mexico Commission on Higher Education—1997-98
Facilities utilization and development of regional education centers
- Western Governors Association—1996
Planning for the Western Governors (Virtual) University

State University of New York (SUNY)—1996
 Development of a “strategic alliance” among the state’s Colleges of Technology

Ohio Board of Regents—1996
 Advise task force on changes to resource allocation model

Minnesota State Colleges and Universities—1996
 Systemwide strategic planning and advise task force regarding changes to resource allocation model

Florida Postsecondary Education Planning Commission—1996
 Recommend policies regarding delivery of distance education

University of Dayton—1996
 Development of alternative approaches to productivity improvement

New Jersey Commission on Higher Education—1995
 Statewide strategic planning

Idaho State Board of Regents—1995
 Statewide strategic planning, recommendations regarding governance and alternative forms of service delivery, and development of a management information system to support ongoing planning and monitoring

Colorado Commission on Higher Education—1995
 Development of accountability measures for institutions and the statewide system of postsecondary education

Dayton Business Committee—1995
 Analysis of needs for additional advanced technical education in the Dayton area

Parkland Community College—1995
 Development of management information system and facilities master plan

Nassau Community College—1995
 Strategic planning

Kansas Legislative Education Planning Committee—1995
 Environmental scan and statewide strategic planning

Missouri Coordinating Board for Higher Education—1995
 Performance funding

Utah Building Construction and Management Board—1995
 Recommend approach to facilities planning

Nebraska Postsecondary Education Coordinating Commission—1995
 Prepare white paper on financing options

Rhode Island Board of Higher Education—1994
 Statewide strategic planning for higher education

North Carolina General Assembly—1994
 Assist legislative staff with review of UNC System

Jamestown Community College (New York)
 Assessment of needs for new programs in service area

Colorado Commission on Higher Education—1994
 Statewide enrollment planning

Southeast Missouri State University—1994
 Strategic planning

Consortium of Northeast Texas Colleges and Universities—1994
 Educational needs assessment for 36 counties in Northeast Texas

Education Commission of the States (ECS)—1994

- Conduct focus groups on meaning of “quality” from perspective of different higher education constituents
- Prepare briefing paper on enrollment planning and management

Indiana Commission on Higher Education—1994

Management and role and mission study of Indiana University/Purdue University-Fort Wayne

Connecticut Board for Community and Technical Colleges—1993

Systemwide plan for information technology

Colorado Agenda 21—1993

Analyses leading to identification of statewide education priorities

Rowan State College (NJ)—1993

Needs assessment and design recommendations for new engineering programs

Lincoln University (MO)—1993

Strategic planning

Florida Community College System—1993

Formula funding review and recommendations

Western Nebraska Community College—1993

Planning leading to relocation of programs and new campus construction

Colorado State Auditor—1993

Review of faculty productivity

Council on Chiropractic Education—1993

Strategic planning

California Higher Education Policy Center—1993

Analysis of policy options for state support of California higher education

Lake Michigan College—1993

Strategic plan for information technology

Northern New Mexico Community College—1993

Strategic planning

Education Commission of the States—1992/1993

Conduct reviews of state higher education policies in New Jersey and Colorado and recommend a policy reform agenda

Southern Illinois University at Edwardsville—1992

Develop management database

Coming Community College—1992

Strategic planning

Ohio Board of Regents—1992

Evaluation of the Ohio Selective Excellence Program

University of Wisconsin- Whitewater—1992

Strategic planning

University of Hawaii System—1992

Development of systemwide performance indicators

Massachusetts Higher Education Coordinating Council—1992

Funding formulas

Minnesota Formula Funding Task Force—1992

Funding formulas

University of Massachusetts System—1992

Resource allocation

Parkland College—1992
 Facilities utilization

Western Nebraska Community College—1992
 Strategic planning

University of Missouri System—1991
 Systemwide strategic planning

University of Nebraska-Omaha—1991
 Cost containment study

Ferris State University—1991
 Cost containment-strategic planning

National Center for Education Statistics—1991
 Recommend approach to implementing Student Right-to-Know legislation

Education Commission of the States—1991
 Develop approach to assess effects of state policies on undergraduate education

University of Denver—1990
 Strategic planning

Missouri Business and Education Partnership Commission—1990
 Staff to blue-ribbon committee developing strategic plan for all higher education in Missouri

Eastern New Mexico University-Clovis—1990
 Determine feasibility of branch campus becoming an independent community college

Mid-Hudson Alliance of Presidents—1990
 Regional needs assessment

Colorado Legislative Audit Committee—1990
 Study impact of salary levels on faculty recruitment and retention

Nebraska Technical Community College Association—1990
 Efficiency study of six community college areas

Oregon Community College System—1990
 Review and revision of funding formula

Civic Progress—1990
 Educational needs assessment of St. Louis region

Bishop Clarkson College—1990
 Needs assessment

Shaw University—1990
 Development of management information system

SELECTED PAPERS AND PUBLICATIONS

With Frank Jewett. “Procedures for Calculating the Costs of Alternative Modes of Instructional Delivery.” In *Dollars, Distance, and Online Education: The New Economics of College Teaching and Learning*, Martin J. Finkelstein, et al. (ed). American Council on Education. Connecticut: Oryx Press, 2000.

With Karen Paulson. *Developing and Maintaining the Information Infrastructure for State Level Higher Education Policymakers*. Prepared with support from the Ford Foundation, National Center for Higher Education Management Systems, 2001.

With Karen Paulson. *Some Next Steps for States: A Follow-Up to Measuring Up 2000*. San Jose: National Center for Public Policy and Higher Education, June 2001.

Technology Costing Methodology Handbook. Boulder, CO: National Center for Higher Education Management Systems (NCHEMS), Western Cooperative for Educational Telecommunications (WCET), and Western Interstate Commission for Higher Education (WICHE), March 2001.

“Cost Analysis and the Formation of Public Policy.” Commissioned paper prepared for the National Center for Education Statistics (NCES). Boulder, CO: NCHEMS, August 2000.

“An Alternative Look at the Cost Question.” In *Higher Education Cost Measurement: Public Policy Issues, Options, and Strategies*. Washington, DC: The Institute for Higher Education Policy TIAA-CEF Institute, March 2000.

Transforming Postsecondary Education for the 21st Century: The Nuts and Bolts of Policy Leadership. Denver, CO: Education Commission of the States, June 1999.

A Framework for Devising State Policy Toward Higher Education. Denver, CO: Education Commission of the States, 1997.

“Providing Decision Support for Planning.” In *Planning Strategies for the New Millennium: Redefining, Redirecting, and Reorganizing Postsecondary Education*. M. Peterson, D. Dill and L. Mets, Eds. San Francisco: Jossey-Bass, 1997.

With Cheryl Lovell. *Handbook on Human Resources: Record-Keeping and Analysis*. Washington, DC: National Center for Education Statistics, 1997.

With Peter T. Ewell. *Indicators of “Good Practice in Undergraduate Education: A Handbook for Development and Implementation*. Boulder, CO: National Center for Higher Education Management Systems (NCHEMS), 1996.

Strategic Budgeting: *The Board’s Role in Public Colleges and Universities*. AGB Occasional Paper No. 28. Washington, DC: Association of Governing Boards of Universities and Colleges, 1995.

Strategic Budgeting. In *Financial Management: Progress and Challenges*. William E. Vandament and Dennis P. Jones, Eds. San Francisco: Jossey-Bass, 1993.

With Peter Ewell. *The Effect of State Policy on Undergraduate Education*. Denver, CO: Education Commission of the States, 1993.

Issues in Higher Education Finance. Washington, DC: National Governors Association, 1993/

With John Folger, “Use of Fiscal Policy to Achieve States’ Educational Goals.” Commissioned paper prepared for the Education Commission of the States. Denver, CO: Education Commission of the States, 1993.

With Peter Ewell, Actions Matter: *The Case for Indirect Measures in Assessing Higher Education’s Progress on the National Education Goals*. Commissioned paper prepared for the U.S. Department of Education and the National Education Goals Panel. Washington, DC: U.S. Department of Education, October 1991.

With Peter Ewell, *Assessing and Reporting Student Progress: A Response to the “New Accountability.”* Denver, CO: State Higher Education Executive Officers, 1991.

With Peter Ewell and Ronald Parker. *Establishing a Longitudinal Student Tracking System: An Implementation Handbook*. Boulder, CO: National Center for Higher Education Management Systems [NCHEMS], 1988.

- With Paul Brinkman, Melodie Christal, and Peter Ewell. *Accountability in Higher Education: A Reporting System for the California Community Colleges*. Boulder, CO: NCHEMS, 1987.
- With Peter Ewell. "Accountability in Higher Education: Meaning and Methods." Paper prepared for the Colorado Commission on Higher Education, Denver, 1987.
- With Peter T. Ewell. "The Costs of Assessment." In *Assessment in American Higher Education*. Washington, DC: Office of Educational Research and Improvement, U.S. Department of Education, 1986.
- "Postsecondary Education Assessment: The Role of the Center for Education Statistics." In *Postsecondary Assessment: Report of a Planning Conference*. Washington, DC: U.S. Government Printing Office, 1987.
- "Indicators of the Condition of Higher Education." Paper prepared for the National Center for Education Statistics. Boulder, CO: NCHEMS, October 1985.
- Higher Education Budgeting at the State Level: Concepts and Principles*. Boulder, CO. National Center for Higher Education Management Systems, 1984.
- With Melodie E. Christal. *A Common Language for Postsecondary Accreditation: Categories and Definitions for Data Collection*. Boulder, CO: NCHEMS, 1985.
- "Budgeting for Academic Quality: Structures and Strategies." In J. Folger (Ed.), *Financial Incentives for Academic Quality*. New Directions for Higher Education, No. 48. San Francisco: Jossey-Bass, December 1984.
- "A Proposed Framework for Classifying the Subject Matter of Higher Education: Foundation to a Field of Study." Paper presented at the annual meeting of the Association for the Study of Higher Education. Washington, DC: March 1983.
- Data and Information for Executive Decisions in Higher Education*. Boulder, CO: NCHEMS, 1982.
- With Anahid Katchian, Marilyn McCoy, and Melvin D. Orwig. *State-Level Information Base*. Field rev. ed. Technical Report 85. Boulder, CO: NCHEMS, 1977.
- With Harold L. Dahnke, Thomas R. Mason, and Leonard C. Romney. *Higher Education Facilities Planning and Management Manual*. Boulder, CO: NCHEMS, 1971.

PETER T. EWELL

National Center for Higher Education Management Systems (NCHEMS)

P.O. Box 9752 Boulder, Colorado 80301-9752

Telephone: (303) 497-0307

EDUCATION

Ph.D. Yale University, 1976
Major: Political Science

M. Phil. Yale University, 1973
Major: Political Science

B.A. Haverford College, 1970
Major: Political Science

PROFESSIONAL EXPERIENCE

1981 to Present

Vice President, National Center for Higher Education Management Systems (NCHEMS). Responsibilities include applied research on assessing institutional effectiveness and direct consulting with colleges, universities, and state and national governments on the collection and use of assessment and performance information in planning, evaluation, and budgeting. Directing a series of grants and multi-institutional demonstration projects, funded by the W. K. Kellogg Foundation, the Consortium for the Advancement of Private Higher Education, The Pew Charitable Trusts, and the Lumina Foundation on the use of student-outcomes information in program planning and decision-making, institutional effectiveness, and higher education quality assurance policy; consulting with colleges, universities, and state systems in the areas of strategic planning, enrollment management, outcomes assessment, and program evaluation; research and writing on the topics of assessing college and university effectiveness, and on the use of information in decision-making in higher education, resulting in books and commissioned papers by government and higher education groups; developing tools for practicing administrators in enrollment management, outcomes assessment, and program review and evaluation, including surveys and other data collection methods and techniques, and student-oriented management information systems; designing and presenting management seminars for diverse higher education audiences.

1978-1981

Coordinator for Long-Range Planning, Governors State University. Responsibilities included the design and implementation of numerous analytical policy studies and data support systems to inform the University's long-range planning and program evaluation efforts.

1975 to 1978

Harper Fellow in Social Science and Assistant Director, Public Affairs Program, University of Chicago. Responsibilities included instruction in Political Science and supervision of all senior research projects in Public Affairs.

1971 to 1975

Teaching Fellow and Research Associate, Yale University. Responsibilities included design and implementation of a student-outcomes study of the Yale, Ph.D. program in Political Science for the Director of Graduate Studies and involvement in the design and drafting of a text in Political Science.

PROFESSIONAL AFFILIATIONS AND ACTIVITIES

Member of Board of Directors, American Association of Higher Education (AAHE), 1998-2002

Member of Board of Governors, Truman State University, 1966-date

Executive Editor, *Change Magazine*, 1996-date

Editorial Board and Regular Columnist on State Policy: *Assessment Update*, 1989-date

Editorial Board: *Planning in Higher Education*, *Review of Higher Education*, 1987-92

Association for Institutional Research, Publications Board, 1986-90

National Education Goals Panel: Resource Group for Goal 5, 1991-95

PROFESSIONAL HONORS AND AWARDS

Virginia B. Smith Innovative Leadership Award, 2001

Association for Institutional Research, Sidney Suslow Award, 2000

Council of Independent Colleges, Academic Leadership Award, 1998

Association for the Study of Higher Education, Leadership Award Recipient, 1996

SELECTED PAPERS AND PUBLICATIONS

“An Accountability System for ‘Doubling the Numbers.’” In *Double the Numbers: Postsecondary Attainment and Underrepresented Youth*. Boston, MA: Jobs for the Future, 2003.

“The Learning Curve.” In *Biz Ed Magazine*, 2, 5, July/August, 2003.

“Keeping the Value in ‘Value Added.’” In *Peer Review*, 4, 2/3, Winter/Spring, 2002.

“A Delicate Balance: The Role of Evaluation Management.” In *Quality in Higher Education*, 8, 2, 2002.

Perpetual Movement: Assessment After Twenty Years. Keynote Address for the 17th Assessment Conference of the American Association of Higher Education (AAHE), June 2002.

Reinventing Accreditation: The Road You’ve Traveled and the Way Ahead. Keynote Address for the Annual Meeting of the Western Association of Schools and Colleges (WASC), Accrediting Commission for Senior Colleges and Universities, April 2002.

Three “Dialectics” in Higher Education’s Future. Working Paper for the Project on the Future of Higher Education. Seattle, WA: Antioch University, Spring 2002.

A Guide to Using Evidence in the Accreditation Process: A Resource to Support Institutions and Evaluation Teams. Alameda, CA: Western Association of Schools and Colleges (WASC) Accrediting Commission for Senior Colleges and Universities, January 2002.

Major Trends in Higher Education: Implications for Accreditation. Keynote Address for the Middle States Association Commission on Higher Education, December 2001.

“An Emerging Scholarship: A Brief History of Assessment.” In Trudy W. Banta and Associates, *Building a Scholarship of Assessment.* San Francisco: Jossey-Bass, 2001.

“Numeracy, Mathematics, and General Education.” In Lynne A. Steen (ed), *Mathematics and Democracy: The Case for Quantitative Literacy.* Washington, D.C.: National Council on Education in the Disciplines, 2001.

Accreditation and Student Learning Outcomes: A Proposed Point of Departure. Washington, D.C.: Council on Higher Education Accreditation, September 2001.

“Statewide Testing in Higher Education.” In *Change Magazine*, 33, 2, March/April 2001.

“Grading Student Learning: Better Luck Next Time.” In *Measuring Up 2000: The State-by-State Report Card for Higher Education*, 5, 3, 1999.

“Linking Performance Measures to Resource Allocation: Exploring Unmapped Terrain.” In *Quality in Higher Education*, 5, 3, 1999.

“Assessment of Higher Education Quality: Promise and Politics.” In S. J. Messick (Ed.), *Assessment in Higher Education: Issues of Access, Quality, Student Development, and Public Policy*, London, UK: Lawrence Erlbaum Associates, 1999.

“Achieving High Performance: The Policy Dimension.” In W. G. Tierney (Ed.), *The Responsive University: Restructuring for High Performance.* Baltimore, MD: The Johns Hopkins University Press, 1998.

Examining a Brave New World: How Accreditation Might Be Different. Keynote Address prepared for the Second Annual Meeting of the Council for Higher Education Accreditation (CHEA). Washington, DC: CHEA, 1998.

“National Trends in Assessing Student Learning.” In *Journal of Engineering Education*, April 1998.

“Accountability and Assessment in a Second Decade: New Looks or Same Old Story?” in *Assessing Impact: Evidence and Action*, Presentations from the 1997 AAHE Conference on Assessment and Quality. Washington, DC: American Association for Higher Education (AAHE), 1997.

With Jane Wellman and Karen Paulson. *Refashioning Accountability: Toward a Coordinated System of Quality Assurance*. Denver, CO: Education Commission of the States (ECS), 1997.

“Strengthening Assessment for Academic Quality Improvement.” In M. Peterson, D. Dill, L. Mets and Associates, *Planning and Management for a Changing Environment: A Handbook on Redesigning Postsecondary Institutions*. San Francisco: Jossey-Bass, 1996.

“Identifying Indicators of Curricular Quality.” In Jerry G. Gaff, James L. Ratcliff, and Associates, *Handbook for the Undergraduate Curriculum*. San Francisco: Jossey-Bass, 1996.

“The Current Pattern of State-Level Assessment: Results of a National Inventory.” In *Assessment Update*, 8, 3, May/June 1996.

With Dennis P. Jones, *Indicators of “Good Practice” in Undergraduate Education: A Handbook for Development and Implementation*. Boulder, CO: National Center for Higher Education Management Systems (NCHEMS), 1996.

Ed., *Student Tracking: New Techniques, New Demands*. New Directions for Institutional Research No. 87. San Francisco: Jossey-Bass, 1995.

With Aims C. McGuinness, Jr., “Improving Productivity and Quality in Higher Education.” In *AGB Priorities*, 2, Fall 1994.

“A Matter of Integrity: Accountability and the Future of Self-Regulation.” In *Change Magazine*, 26, 6, November/December 1994.

“Restoring Our Links With Society: The Neglected Art of Collective Responsibility.” In *Metropolitan Universities*, 5, 1, Summer 1994.

“The Assessment Movement: Implications for Teaching and Learning.” In Terry O’Bannon and Associates, *Teaching and Learning in the Community College*. Washington, DC: The Community College Press, American Association of Community Colleges, 1994.

“Developing Statewide Performance Indicators for Higher Education: Policy Themes and Variations.” In S. Ruppert (Ed.), *Charting Higher Education Accountability: A Sourcebook on State-Level Performance Indicators*. Denver, CO: Education Commission of the States, 1994.

A Policy Guide for Assessment: Making Good Use of the Tasks in Critical Thinking.
Princeton, NJ: Educational Testing Service, 1994.

With Dennis P. Jones, *The Effect of State Policy on Undergraduate Education.* Denver, CO: Education Commission of the States, 1993.

“The Role of the States and Accreditors in Shaping Assessment Practice.” In Trudy W. Banta (Ed.), *Making a Difference: Outcomes of a Decade of Assessment in Higher Education.* San Francisco: Jossey-Bass, 1993.

With Dennis P. Jones, “Actions Matter: The Case for Indirect Measures in Assessing Higher Education’s Progress on the National Education Goals.” In *The Journal of General Education*, 42, 2, 1993.

“Total Quality and Academic Practice: The Idea We’ve Been Waiting For?” In *Change Magazine*, 25, 3, May/June 1993.

“Identifying and Improving ‘Core Processes’ of Undergraduate Teaching and Learning.” Commissioned paper prepared for the AAHE 8th Annual National Assessment/1st Continuous Quality Improvement Conference, June 1993.

“Feeling the Elephant: The Quest to Capture ‘Quality’.” In *Change Magazine*, 24, 5, September/October 1992.

“Defining the Quality-Driven Institution.” In *Assessment Update*, 4, 5, 1992.

Outcomes Assessment, Institutional Effectiveness, and Accreditation: A Conceptual Exploration. Commissioned paper prepared for the Council on Postsecondary Accreditation. Washington, DC: Council on Postsecondary Accreditation, 1992.

Benefits and Costs of Assessment in Higher Education: A Framework for Choicemaking. Boulder, CO: NCHEMS, 1991.

“Assessment and Public Accountability: Back to the Future.” In *Change Magazine*, 23, 6, November/December 1991.

With Dennis P. Jones, “Assessing and Reporting Student Progress: A Response to the ‘New Accountability’.” Denver, CO: State Higher Education Executive Officers, 1991.

“Assessment and TQM: In Search of Convergence.” In Lawrence A. Sherr and Deborah J. Teeter (Eds.), *Total Quality Management in Higher Education.* New Directions for Institutional Research No. 71. San Francisco: Jossey-Bass, 1991.

Assessment and the New Accountability: A Challenge for Higher Education’s Leadership. Denver, CO: Education Commission of the States, 1990.

- “To Capture the Ineffable: New Forms of Assessment in Higher Education.” In Gerald C. Grant (Ed.), *Review of Research in Education* Volume 17, American Educational Research Association, April 1991.
- Ed., *Information and Decision: Improving the Linkage*. New Directions for Institutional Research No. 64. San Francisco: Jossey-Bass, 1989.
- “About Halfway: Assessment at the Balance Point.” In *Assessment Update*, 1, 1, 1989.
- With Carol M. Boyer, “Acting Out State-Mandated Assessment: Evidence from Five States.” In *Change Magazine*, 20, 4, July/August 1988.
- “Implementing Assessment: Some Organizational Issues.” In Trudy W. Banta (Ed.), *Implementing Outcomes Assessment: Promise and Perils*. New Directions for Institutional Research No. 59. San Francisco: Jossey-Bass, 1988.
- With Robert P. Lisensky, *Assessing Institutional Effectiveness: Redirecting the Self-Study Process*. Washington, DC: Consortium for the Advancement of Private Higher Education, 1988.
- “Outcomes, Assessment, and Academic Improvement: In Search of Usable Knowledge.” In John C. Smart (Ed.), *Higher Education: Handbook of Theory and Research, IV*. New York: Agathon Press, 1988.
- “Establishing a Campus-Based Assessment Program.” In Diane F. Halpern (Ed.), *Student Outcomes Assessment: What Institutions Stand to Gain*. New Directions for Higher Education No. 59. San Francisco: Jossey-Bass, 1987.
- “Assessment: Where Are We?” In *Change Magazine*, 19, 1, January/February 1987.
- With Ronald Parker and Dennis P. Jones, *Establishing a Longitudinal Student Tracking System: An Implementation Handbook*. Boulder, CO: NCHEMS, 1988.
- “The State Role in Assessing College Outcomes: Policy Choices and Probably Impacts.” Commissioned paper prepared for the National Governors Association, Washington, DC: June 1986.
- “Assessment: What’s It All About?” In *Change Magazine*, 17, 6, November/December 1985.
- “Levers for Change: The Role of State Government in Improving the Quality of Postsecondary Education.” Denver, CO: Education Commission of the States, 1985.
- “Performance Funding and Institutional Response: Lessons from the Tennessee Experience.” In Trudy W. Banta (Ed.), *Performance Funding in Higher Education*. Boulder, CO: NCHEMS, 1985.

“The Legislative Role in Improving Postsecondary Education.” Education and Job Training Series, *State Legislative Report*, 10, 14. Washington, DC: National Conference of State Legislators, December 1985.

With Dennis P. Jones, “The Costs of Assessment.” Paper commissioned by the National Institute of Education. Washington, DC: October 1985.

Ed., *Assessing Educational Outcomes*. New Directions for Institutional Research No. 47. San Francisco: Jossey-Bass, 1985.

The Self-Regarding Institution: Information for Excellence. Boulder, CO: NCHEMS, 1984.

“Recruitment, Retention, and Student Flow: A Comprehensive Approach to Enrollment Management Research.” Boulder, CO: NCHEMS, 1984.

With Ellen Earle Chaffee, “Promoting the Effective Use of Information in Decisionmaking.” Boulder, CO: NCHEMS, 1985.

“Dimensions of Excellence in Postsecondary Education.” Paper commissioned by the NIE Study Group on the Conditions of Excellence in American Higher Education. Boulder, CO: May 1984.

Conducting Student Retention Studies. Boulder, CO: NCHEMS, 1984.

Student Outcomes Questionnaires: An Implementation Handbook, 2nd ed. Boulder, CO: NCHEMS, 1983.

Information on Student Outcomes: How to Get It and How to Use It. Boulder, CO: NCHEMS, 1983.

NATHAN CHURCH, Ph.D.

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PERSONAL:

Date of Birth: November 27, 1951
Marital Status: Married 32 years to Debbie (Chivers)
Children: Two children ages 27 and 30
Health: Excellent
Social Security Number: 574-22-9963

EDUCATION

- Ph.D.** Sociology, May, 1981, Rutgers University, New Brunswick, NJ.
Emphasis in phenomenology/ sociology of knowledge. Dissertation:
*Modernity, Meaning and Eastern Spiritual Movements: An Empirical
Sociology of Knowledge Analysis* (quantitative and qualitative research on
the role of attitudes and social-psychological characteristics of Americans
becoming members of Eastern religious organizations).
- M.S.** Sociology, August, 1977, Portland State University, Portland, OR.
Emphasis in social psychology and social deviance. (Named Outstanding
Graduate Student in the Department, 1977).
- B.S.** (With Honors) Psychology and Sociology, June, 1975, Portland State
University, Portland, OR.

PROFESSIONAL EXPERIENCE

2001-Present VICE PRESIDENT FOR STUDENT LIFE AND DEVELOPMENT
St. Cloud State University, St. Cloud, MN
Responsibilities: At the second largest university in Minnesota, serves on the
President's Cabinet as the chief student affairs officer. Serves as chief officer for
the University in the absence of the President and Provost as delegated by the
President and represents the President on various committees/councils as
appointed. Oversees 22 areas of student affairs for campus serving 16,000
students, with a total budget of over \$20m. Interacts with officials from the
Office of the Chancellor for the Minnesota State Colleges and Universities and
serves on the Academic and Student Affairs Advisory Council for the Senior Vice
Chancellor for the system of 27 community and technical colleges as well as 7
state universities. Serves on the Meet and Confer Team for the Administration
with the local campus affiliate of the State-wide Inter-Faculty Organization.
Serves as hearing officer for grievances and as decision maker for discrimination
complaints for institutional level administrative determinations. Collaborates

with the Mayor, City Planning Office and Housing Redevelopment Authority to create a plan for the commercial and housing revitalization of the near-campus area. Works with the Chief of Police and community organizations to address collaborative management of student and community involvement in Homecoming and Move-In Day activities. Works with institutional lobbyist to interact with legislators on bonding and legislative and municipal issues. In cooperation with University Advancement, meets with donors and develops a capital campaign for the American Indian Center to build a cultural gathering place and educational display (\$600,000 in facility costs and \$1 million in endowed staffing positions). Leads effort to garner student government and student referendum support for \$16 million project to expand and remodel the student center, to construct a multipurpose football/women's soccer/recreational stadium with winter inflatable dome structure and to build a 55,000 sf student recreation center assumed through a multi-year student fee structure financing bond obligations through the University Foundation (2 projects now complete and the other in late 2004/early 2005). Expands volunteer office staffing creating capacity for participation in American Democracy Project (co-sponsored by Am. Assoc. of State Colleges and Universities and NY Times) and acquisition of \$400k Americorps grant (funding 22 positions). Initiates first-year experience program. Establishes strategic planning processes based on the balanced scorecard approach.

1996-2001

DEAN OF STUDENT AFFAIRS,

Southern California University of Health Sciences, Whittier, CA.

Responsibilities: Serves on the President's Cabinet as the chief student affairs officer. Serves on the Provost's Academic Team dealing with curricular/instructional issues. Interacts with members of the Board of Regents. Oversees directors for Admissions, Financial Aid, Student Activities, Student Services, Registrar, the Enrollment Management Team, Communications, Alumni Relations and Institutional Advancement. Responsible for the co-curriculum, new student orientation, student handbook, retention strategies, development of ADA standards and compliance, Student Center, INS documentation, marketing team and manages food services, vending and bookstore contracts. Designs new student center and works with donor/executor of estate to achieve named building. Serves as Chair for the Institutional Review Board. Works with lobbyist to impact admissions and educational standards for the state health professions board. Serves as University's lead negotiator for the development of an international educational partnership with a Japanese educational organization in the Okayama prefecture to deliver graduate level health sciences education (involving three and half years and four trips to Japan, including discussions with national Health Ministry officials in Tokyo).

1995-96

VICE PRESIDENT FOR OPERATIONS AND BUSINESS DEVELOPMENT,

Northwest Region, Collegiate Health Care, Norwalk, CT.

Responsibilities: Coordinates operations in the western half of the country including transition of services for new contracts for management services(Boise State University over 6-week period), staff recruitment and training,

implementation of new data management systems, articulation of services with parties internal and external to the universities, supervises on-site directors and conducts their performance evaluations, coordinates reports to corporate office and local institutional leaders. Conducts comprehensive health and counseling program evaluations for colleges and universities. Provides presentations/participation in relevant professional associations for both physical and mental health services. Serves on team with other VPs and CEO to provide strategic direction for organization.

- 1988-1995 **DIRECTOR, COUNSELING, HEALTH AND WELLNESS SERVICES,**
Western Washington University, Bellingham, Washington.
Responsibilities: Directs the Student Health Center, Counseling Center, Wellness Center, Biofeedback/Stress Management Center, Substance Abuse Prevention Center. Procures and supervises 40 professional and clerical staff in these areas and creates and manages multi-million dollar, multi-source budget. Establishes and maintains all policies and procedures. Provides strategic planning and staff development programming. Evaluates services. Participates as adjunct professor in first-year experience program. Participates in state and county health policy analysis and consultation with higher education, Department of Health and legislative officials as part of the health care reform process in the State. Provides in-house consultation and workshops on staff and leadership development to several campus offices.
- 1990-1995 **ADJUNCT PROFESSOR,**
Seattle Pacific University, Seattle, Washington
Graduate courses in counseling with diverse populations and human sexuality for Counseling and Family Therapy Program. Undergraduate sociology courses.
- 1984-88 **ASSISTANT PROFESSOR OF SOCIOLOGY and ASSOCIATE MEMBER OF
THE GRADUATE FACULTY,**
Sociology Department, University of North Texas, Denton, Texas.
Responsibilities: Teaches graduate and undergraduate courses. Directs the department internship program with settings in business, correctional institutions, counseling and therapy, organizations. Supervises doctoral dissertations and masters theses. Serves on doctoral qualifying examination committee, as well as departmental, school, and university committees. Serves as faculty advisor for the graduate student association. Conducts consultation and management coaching for profit and non-profit organizations.
- 1985-88 **DIRECTOR OF THE RELATIONSHIP ENRICHMENT COUNSELING
CENTER,**
Dallas, Texas.
Responsibilities: Procures and manages all professional and clerical staff in a non-profit center for the provision of career, personal, marriage and family counseling and personnel and organizational development consulting with retail, insurance, educational, real estate investment, religious and other firms and organizations.

1980-84 DIRECTOR OF HEALTH, COUNSELING, CAREER AND TESTING SERVICES, and ASSISTANT PROFESSOR OF SOCIOLOGY, Pepperdine University, Malibu, California.
Responsibilities: Directs the Student Health, Counseling, Career Development and Testing Centers. Procures and supervises all professional and clerical staff in these areas, including Graduate Interns and student employees. Creates and manages all budgets. Counsels and supervises in the Counseling and Career Development Centers. Coordinates the academic and personal skills preparation for success in college for the parent and student orientation programs. Consults with Student Affairs staff regarding student discipline. Participates in staff development and training program coordinated by the Personnel Office. Teaches one upper division course every other semester in the Social Science Division.

PUBLICATIONS

Why Can't You Accept Me the Way I Am? Using the Myers-Briggs Type Indicator to Understand Differences in Thinking Style. A completed manuscript under contract with literary agent.

Revision of "The Effects of Social Change on Clinical Sociology," Chapter 8 in *The Handbook of Clinical Sociology, Second Edition*, edited by John Bruhn and Howard Rebach, Plenum Publishing Co., New York: (2002).

With Madeline Beery, 2-part video and facilitators guide series for HIV prevention programs for middle school students, published by AIDS Impact, Inc., Seattle, WA, 1995.

With Madeline Beery, *Situation Sex* and *Anticipate Sex*, a 2-part video and facilitators guide series for HIV prevention programs for college students, published by AIDS Impact, Inc., Seattle, WA, 1994. Gold Apple Award Winner, 1994 National Education Film and Video Festival.

With Madeline Beery, *In the Heat of the Moment* and *Doing it Right*, a 2-part video and facilitators guide series for HIV prevention programs for high school students, published by AIDS Impact, Inc., Seattle, WA, 1994.

With Madeline Beery, *Whenever You Sleep With Someone* and *Negotiating Safer Sex*, a 2-part video and facilitators guide series for HIV prevention programs for college students, published by AIDS Impact, Inc., Seattle, WA, 1993.

"The Effects of Social Change on Clinical Sociology," Chapter 8 in *The Handbook of Clinical Sociology*, edited by John Bruhn and Howard Rebach, Plenum Publishing Co., New York: 1991.

"Sociotherapy with Marital Couples: Incorporating Dramaturgical and Social Constructionist Elements of Marital Interaction," *CLINICAL SOCIOLOGY REVIEW*, Vol. 3, 1985.

"Schreber's MEMOIRS: Myth or Personal Lamentation?" *JOURNAL OF RELIGION AND HEALTH*, Vol. 18, No. 4, October 1979, Pp. 313-326.

GRANTS

Participant in the joint drafting of two grant proposals for the Community Partnership for Rights, Respect and Responsibility (a community group comprised of community members, alcohol distributors, serving industry owners, public health officials and law enforcement officials) resulting in \$7500 grant in 2002 and \$5000 in 2004 to address underage and problematic alcohol use by young adults.

Co-Principal Investigator and Co-Author of HIV/AIDS Adolescent Risk Reduction Project, a Phase II, SBIR Grant from the National Institutes of Health, \$500,000 for two years, 1993 -1995. Production of 6 professional video tape interventions programs in sets of two for college, high school and middle school students.

Author of the proposal to establish the "Institute for the Development of Alcohol-Use Norms," funded by the Washington State Liquor Control Board for \$1,500, 1994-95.

"Students of Color Focus Group Project," sponsoring director, funded by the WWU Diversity Fund, \$2,500, 1994-95.

"Community Building Focus Group Project for Students with Diverse Sexual Orientations," sponsoring director, funded by the American College Health Association, \$5,000, 1993.

Co-Author of "Western Washington Environment Connecting Against Alcohol (and Drug) Abuse Norms" a FIPSE Grant, \$135,000, for two years, 1993-1994.

Co-Principal Investigator and Co-Author of HIV/AIDS Adolescent Risk Reduction Project, a Phase I, SBIR Grant with the National Institutes of Health, \$50,000 for six months, 1992. Production of 2 professional video tape intervention program for college students.

PRESENTATIONS/WORKSHOPS

"Institutional and System Responses to Campus Riots and Student Disorderly Behavior," presentation for Minnesota State Colleges and Universities special session in preparation for 2004 State Legislative Session, St. Paul, MN, January, 2004.

"Celebratory Riots and University Preparedness," presentation for Minnesota State Colleges and Universities' Annual Meetings for Chief Academic and Student Affairs Officers and Deans, Bay Lake, MN, October, 2003

“Applications of Sociological Insights in Higher Education Administration,” Minnesota Sociological Practice Association, St. Cloud, MN, February, 2002.

“Introduction to Differences in Thinking Styles.” and “Conflict Resolution Strategies Based on Celebration of Differences in Thinking Styles” Presented at the annual in-service staff training days, Southern California University of Health Sciences, August, 1999 and 1998.

“Content-Based English as a Second Language Approach to Engage Resistant Students in Need of Assistance.” Presented with Sally Allen at the Association of Chiropractic Colleges annual meeting, Las Vegas, April, 1998.

“Strengths Based Approach to Leadership Development for Student Leaders in College Health.” Presented at the annual meeting of the American College Health Association, Orlando, Florida, May 30, 1996.

“Patient Satisfaction: Assessing and Integrating Input from Students to Improve Quality and Focus Resources on Student Needs.” Presented at the annual meeting of the Rocky Mountain College Health Association, Boulder, Colorado, October 14, 1995.

Participant in a full-day presentation on the effects of managed care on mental health care service for the annual meeting of the Association of University and College Counseling Center Directors, Newport, Rhode Island, October 2, 1995.

Workshop for HIV educators, presented at the National AIDS Update Conference, San Francisco, January 31, 1995.

Management training workshop presented at the Pacific Coast College Health Association Meeting, Bellevue, WA, November 1, 1994.

Computer Literacy workshop presented at the Pacific Coast College Health Association Meeting, Bellevue, WA, November 2, 1994.

With Martin Abbott, Full Day Computer Workshop (2-parts, "Student Health Center Computer Applications for the Beginner" and "Getting the Most from Your Personal Computer: Computer Solutions for Student Health," for the American College Health Association Annual Meeting, San Francisco, May 21, 1992.

With Madeline Beery, "The HIV/AIDS Risk Reduction Project: A Research Report on the Outcomes of a Video-Based Approach to the Creation of a Motivational Context for the Development of Refusal Skills Building Using a "Trigger Tape,"" Presented at the Annual Meeting of the American College Health Association, May 20-24, 1992.

With Martin Abbott, "Optical Scanning for the Automated Collection of Student Health Center Statistics," as part of the American College Health Association Computer Colloquium, May 29, 1991, Boston Annual Association Meeting.

"The Challenges to Graduate Education in Sociology Involving Sociological Practice and Internships," presented at the Annual Meetings of the Southwestern Social Science Association, Houston, TX, March, 1988.

"Strengths-Based Approaches to Career and Personal Counseling Using the Myers-Briggs Type Indicator," presented at the Annual Meetings of the American Association for Counseling and Development, New Orleans, LA, April, 1987.

"Strengths-Based Management: Matching Organizational Requirements with Personal Predispositions to Improve Productivity while Maintaining Employee Satisfaction," presented at the Annual Meetings of the Southwestern Social Science Association, Dallas, TX, March, 1987.

"Sociological Approaches to Individual, Marriage and Family Therapy: The Role of Interactional Process and Social Skills Development," presented at the Annual Meetings of the Mid-South Sociological Association, Jackson, Mississippi, October, 1986.

With John Holman, "Integrating Clinical Sociology Internship Programs with Cooperative Education Programs," paper presented at the 1985 Annual Meetings of the Southwestern Social Science Association, Houston, Texas

"An Empirical Analysis of Characteristics of Members of Religious Cults: Implications for Clinical Sociology," paper presented at the Annual Clinical Sociology Association Conference, 1984, San Antonio, Texas.

"Mysticism and Political Withdrawal: A Response to Weber and Wuthnow," a paper presented at the Annual Meetings of the Society for the Scientific Study of Religion, November 4-6, 1983, Knoxville, TN.

A review of the book, *ALL FAITHFUL PEOPLE*, presented as part of an "Authors Meet Critics" session at the annual meetings of the Society for the Scientific Study of Religion, Chicago, IL, October, 1984.

REVIEWS/PROFESSIONAL REFEREE

A review of the book, *ALL FAITHFUL PEOPLE*, presented as part of an "Authors Meet Critics" session at the annual meetings of the Society for the Scientific Study of Religion, Chicago, IL, October, 1984.

Review of the book, *THE PRACTICE OF CLINICAL SOCIOLOGY AND SOCIO THERAPY*, in *Vol. 3, CLINICAL SOCIOLOGY REVIEW*.

Other reviews and referee for several articles submitted to professional journals.

OFFICES HELD/PROFESSIONAL ASSOCIATIONS AND RESPONSIBILITIES

Member of the National Association of Student Personnel Administrators

Member of the Association for Psychological Type

Liaison to the California State Board of Health Professions Examiners, 1998-2001.

Member of the Washington State Issues Investigation Group for College Health as part of the State Health Services Commission, December 1993-95.

Participant in the proceedings of the Public Health Improvement Plan Steering Committee coordinated by the Washington State Department of Health, through public testimony and consultation, 1993-1995.

President, Washington State College Health Association, 1992-94.

Board Member of Relationship Enrichment Counseling Center, 1985-1988.

Executive Officer of the Clinical Sociology Association of Texas, 1984-1988.

Editor, *The Practicing Sociologist*, the official newsletter and practice notes of the international Sociological Practice Association, 1985-1988.

COMMUNITY SERVICE

Board Member of the Downtown Council, St. Cloud, MN, 2003-Present.

Member of Neighborhood University Community Council (Treasurer), St. Cloud, MN, 2001-Present.

Charter Member of the Community Partnership for Rights, Respect and Responsibility (response to underage and problematic alcohol use by young adults), St. Cloud, MN, 2002-Present.

Board Member, American Red Cross, Whatcom County Chapter, Washington, 1992-1993.

Member of the Community Managed Health Care Committee, Bellingham, WA 1993-1996.

Continuing volunteer work to support youth soccer through coaching, officiating, and organizational activities since 1980.

OTHER PROFESSIONAL ACTIVITIES/CONTINUING EDUCATION

Conducted numerous consultations with businesses, organizations, and agencies on computer and data analysis systems, the Myers-Briggs Type Indicator, executive coaching, organizational development and health care systems, 1982-present.

Private practice as a Marriage and Family Therapist, Denton, TX 1984-1988.

Participant in numerous leadership and manager development workshops, including a 5-day intensive workshop with the Leadership Institute of Seattle (LIOS) in 1987 and 2 years of management coaching from a LIOS affiliate.

PERSONAL INTERESTS

Skiing, physical fitness training, finger style guitar, fiction writing, French and Spanish language, computers, travel and soccer.

REFERENCES/ACADEMIC TRANSCRIPTS

Provided upon request

JACK MAGRUDER

President Emeritus and Professor Emeritus of Chemistry
20675 Willis Way, Kirksville, Missouri 63501
660-627-5011

Jack Magruder began his career at Truman State University in 1964 as an assistant professor of chemistry. During his 22 years on the faculty, he achieved the rank of professor before serving as head of the Division of Science from 1986 to 1989. In 1989, Magruder was named acting dean of instruction and was later given the permanent appointment of vice president for academic affairs. On July 1, 1994, Magruder was named the 13th president of Truman State University. Magruder was honored in 1999 by having Truman's Science Hall building renamed Magruder Hall, and he was granted the emeritus title of President Emeritus and Professor Emeritus of Chemistry in May 2003, before retiring from the University on June 30, 2003.

Magruder was born on August 7, 1935, in rural Lentner, Missouri, located in Shelby County. He and his family moved to Kirksville in 1943. Magruder attended Northeast Missouri State Teachers College (now Truman State University) graduating with a bachelor's degree in chemistry and mathematics. He holds a masters degree in chemistry and science education from the University of Northern Iowa, and he received his doctorate in chemistry and science education from the University of Northern Colorado. He completed additional graduate work at Louisiana State University. Magruder is a 1992 graduate of Harvard University's Institute of Educational Management. He was honored in 1999 by the University of Northern Colorado as the recipient of the Administration Achievement Award, and he was granted an Honorary Degree of Doctor of Humane Letters from the Kirksville College of Osteopathic Medicine in 2002. Magruder was honored most recently by receiving the 2003 Hall of Fame Award from the Kirksville Area Chamber of Commerce.

Magruder is a member of the Missouri State Fair Commission, and he is past chair of the Blue Ribbon Panel for Accountability, Credibility and Efficiency for the Missouri Highways and Transportation Commission. During his time at Truman, he served as a member of the Board of Trustees for The Higher Learning Commission of the North Central Association, past chair of the Missouri Coordinating Board for Higher Education Committee on Transfer and Articulation, past president of the Council of Public Liberal Arts Colleges, past president of the Council on Public Higher Education for Missouri, and past president of the Board of Directors of the Truman State University Foundation.

Magruder is an honorary member of Phi Beta Kappa and the Harry S. Truman Library Institute. He is an ex-officio member of the Highway 63 Transportation Committee, and he continues to hold membership in the American Chemical Society, Beta Gamma Sigma, Phi Delta Kappa, Phi Kappa Phi Honor Society, Sigma Delta Honor Society, and Science Teachers of Missouri.

Magruder is also a member of the Kirksville First United Methodist Church, a member of the Missouri Fox Trotting Horse Breed Association, and a member of the Missouri Farm Bureau.

Magruder is married to Sue Brimer Magruder. Mrs. Magruder is a graduate (both BS and MA) of Truman State University having met Dr. Magruder on the University campus on June 4, 1954. The Magruders have three children—Julie Magruder Lochbaum, Kerry Magruder, and Laura Magruder Mann—all of whom are Truman graduates. They also have seven grandchildren.

Dr. Magruder's hobbies include reading, raising and riding Missouri Fox Trotter horses, driving a team of Halflingers, traveling and camping. Mrs. Magruder enjoys traveling, reading, fishing and doing jigsaw puzzles. The Magruders live on their 47-acre family farm located east of Kirksville.

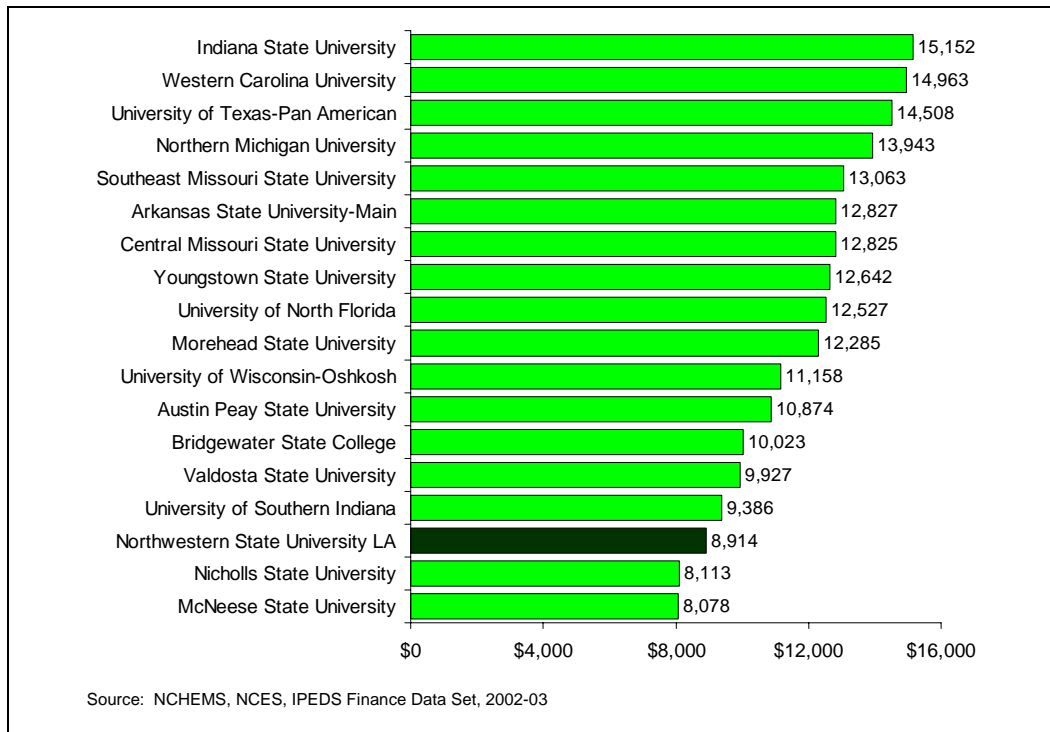
APPENDIX B

Figures

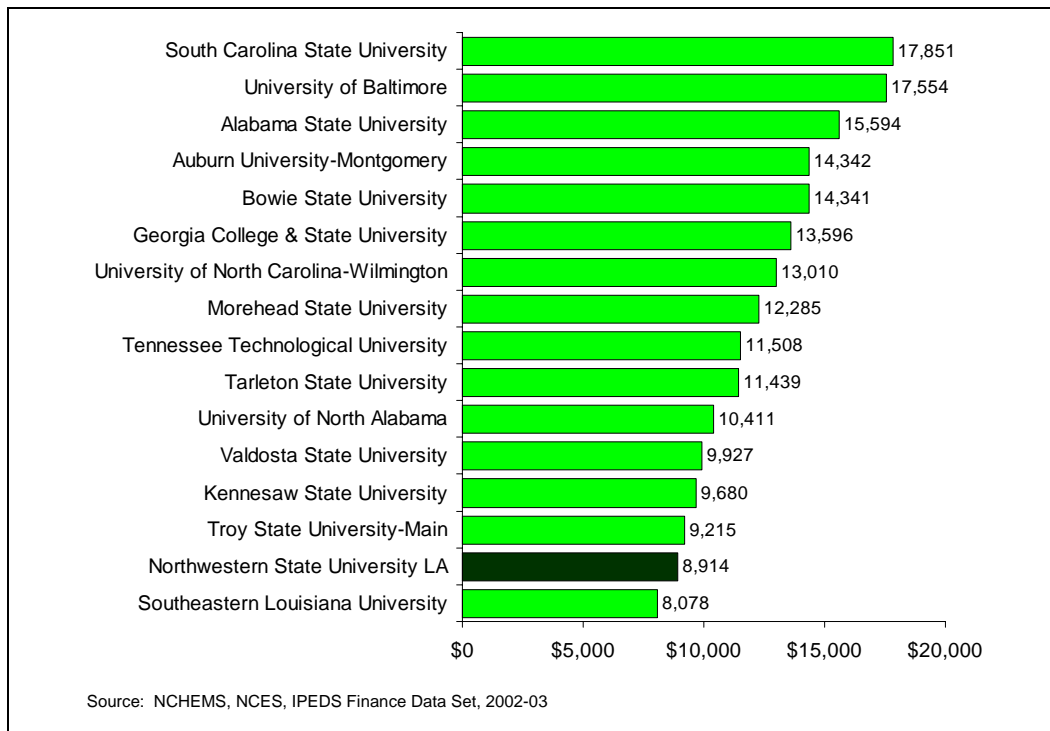
Total E&G Revenue per FTES, 2002-03

Figure 1

GROUP 1



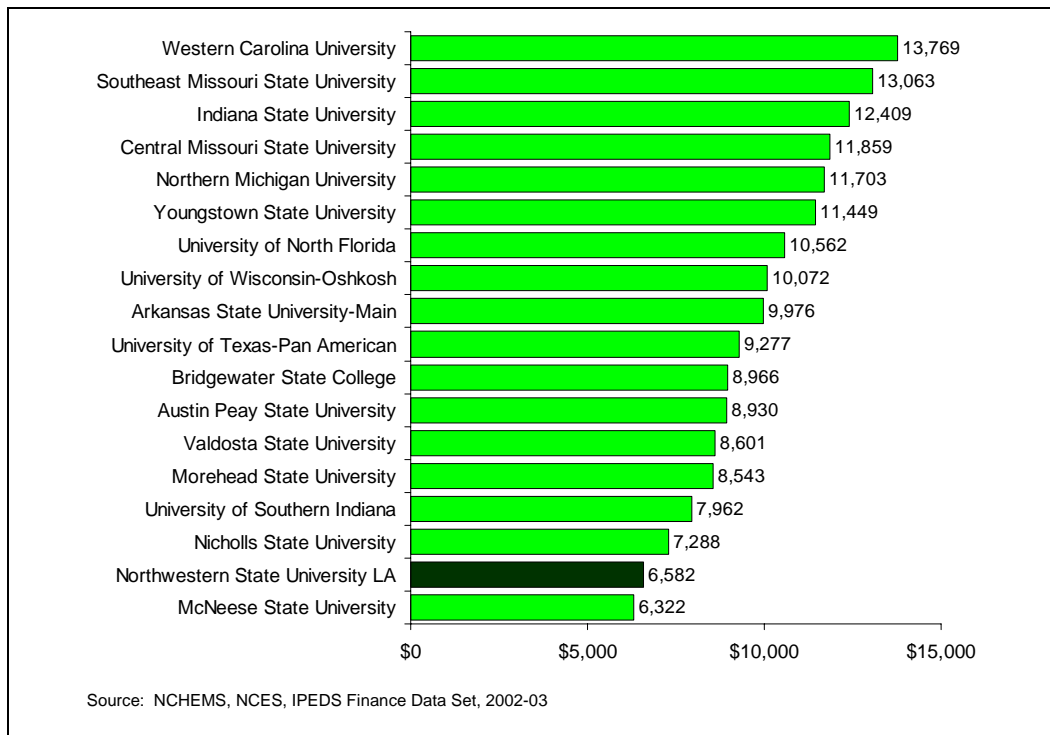
GROUP 2



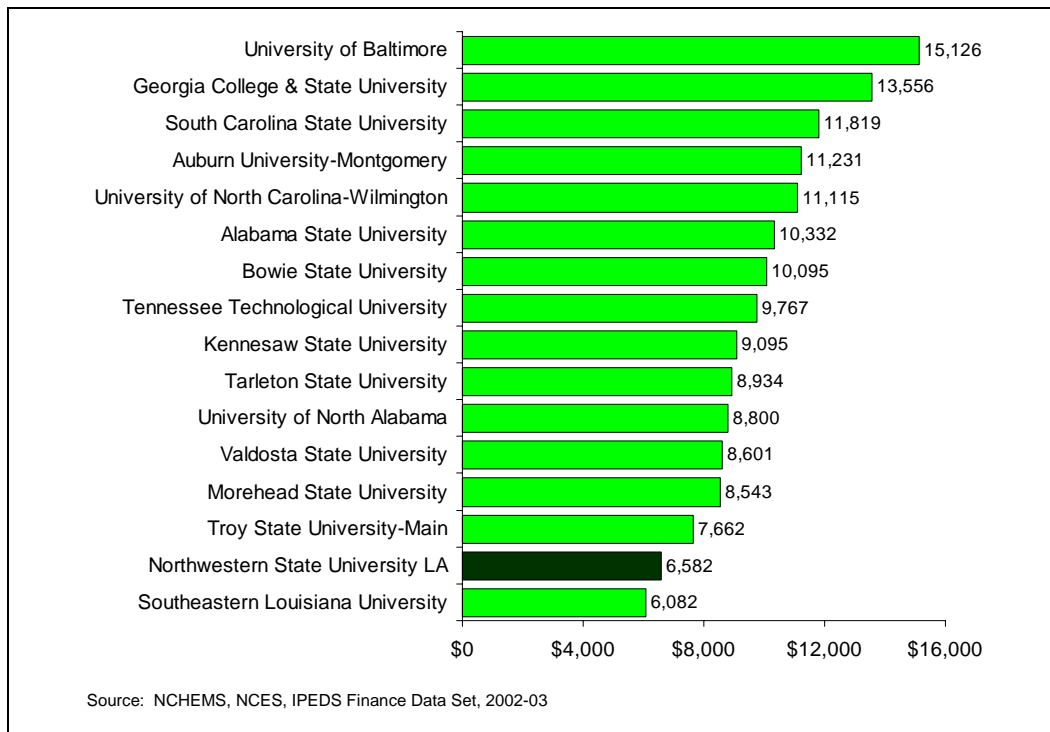
Total E&G Revenue Less Government Grants and Contracts per FTES, 2002-03

Figure 2

GROUP 1



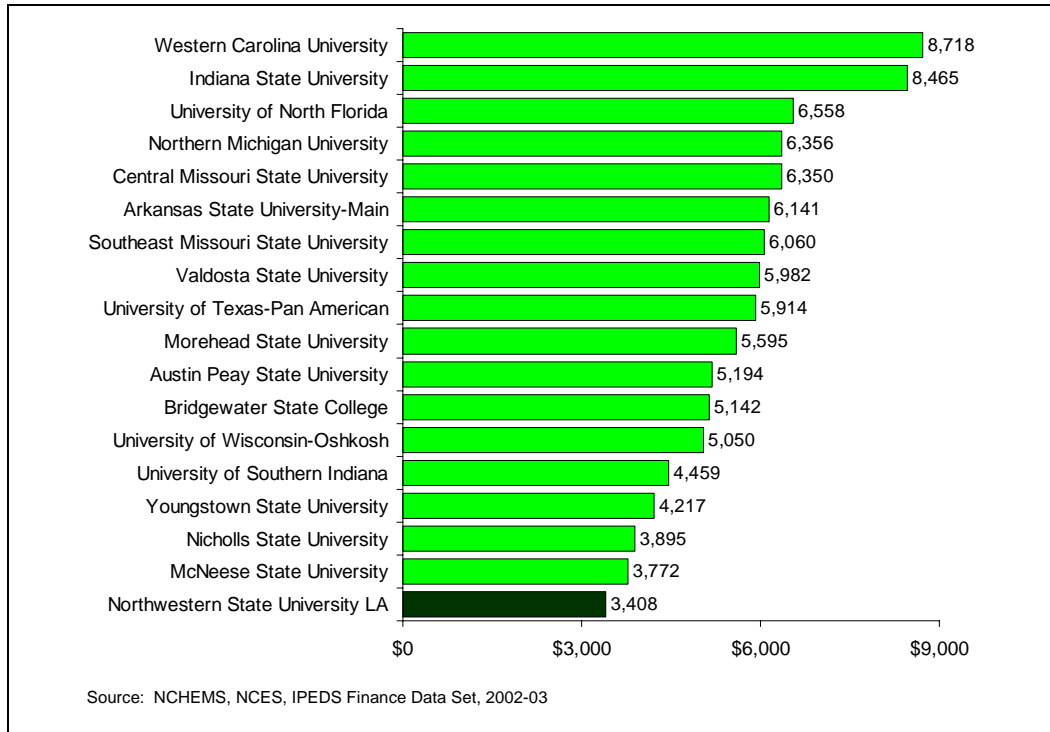
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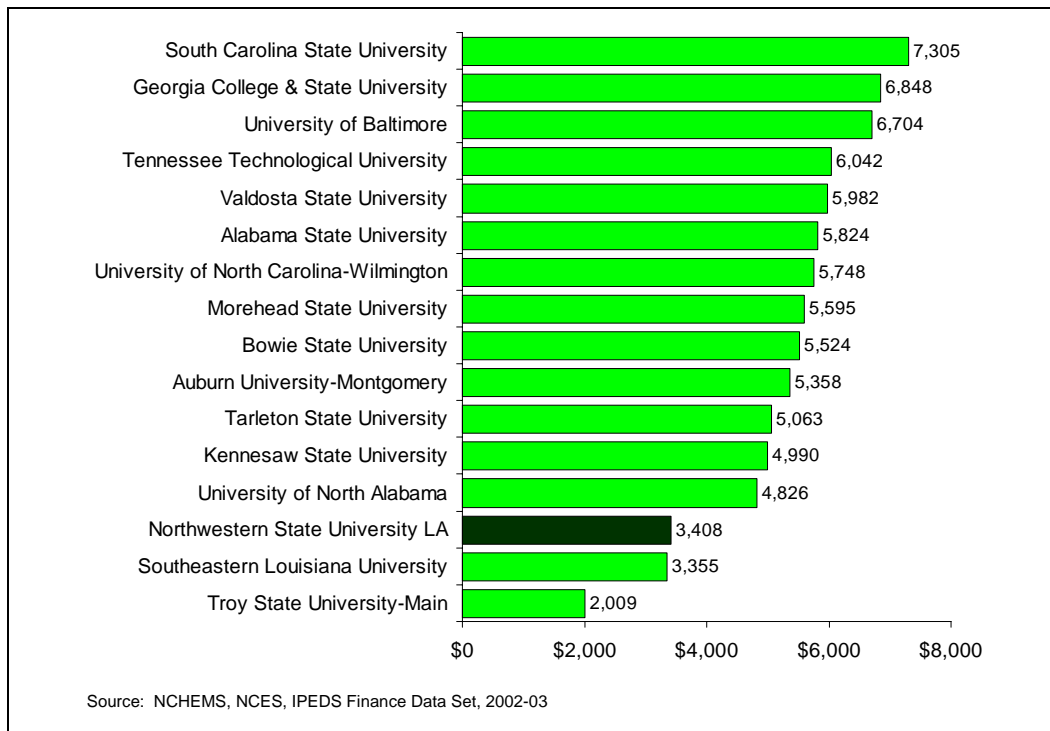
State and Local Appropriations per FTES, 2002-03

Figure 3

GROUP 1



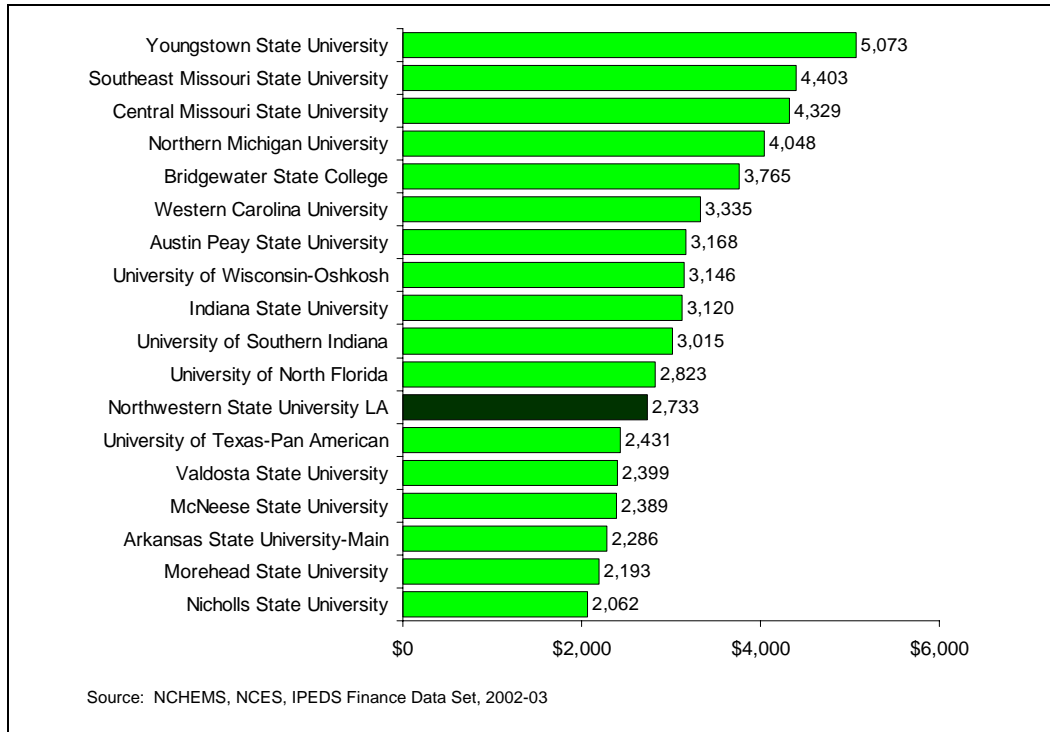
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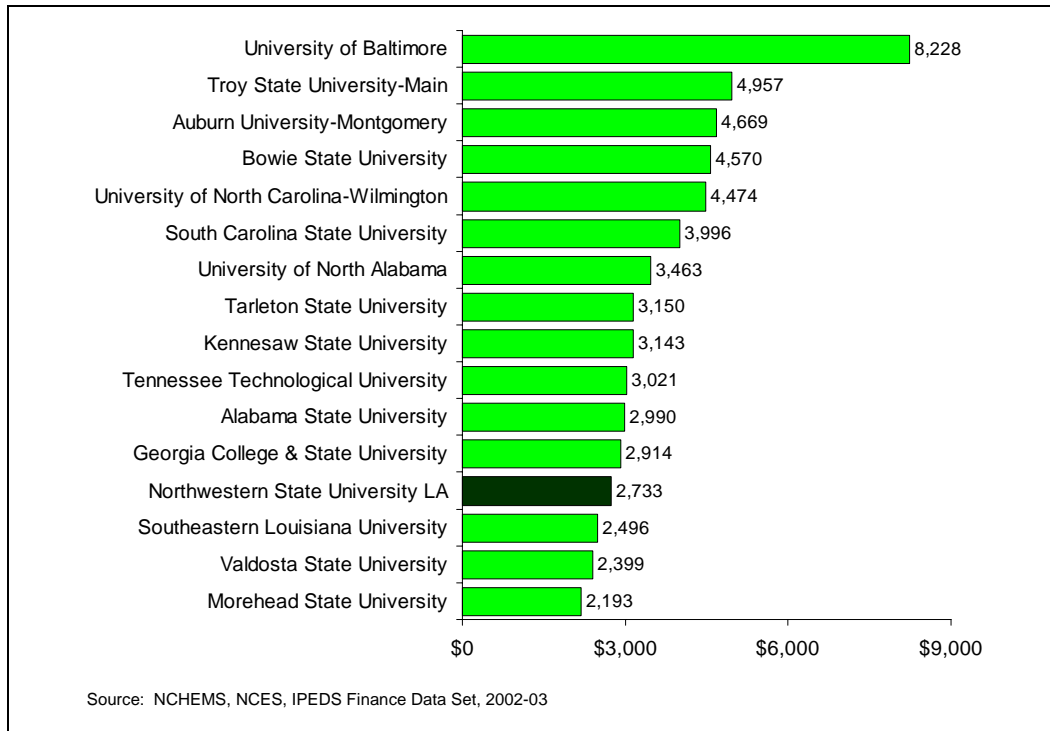
Tuition and Fees per FTES, 2002-03

Figure 4

GROUP 1



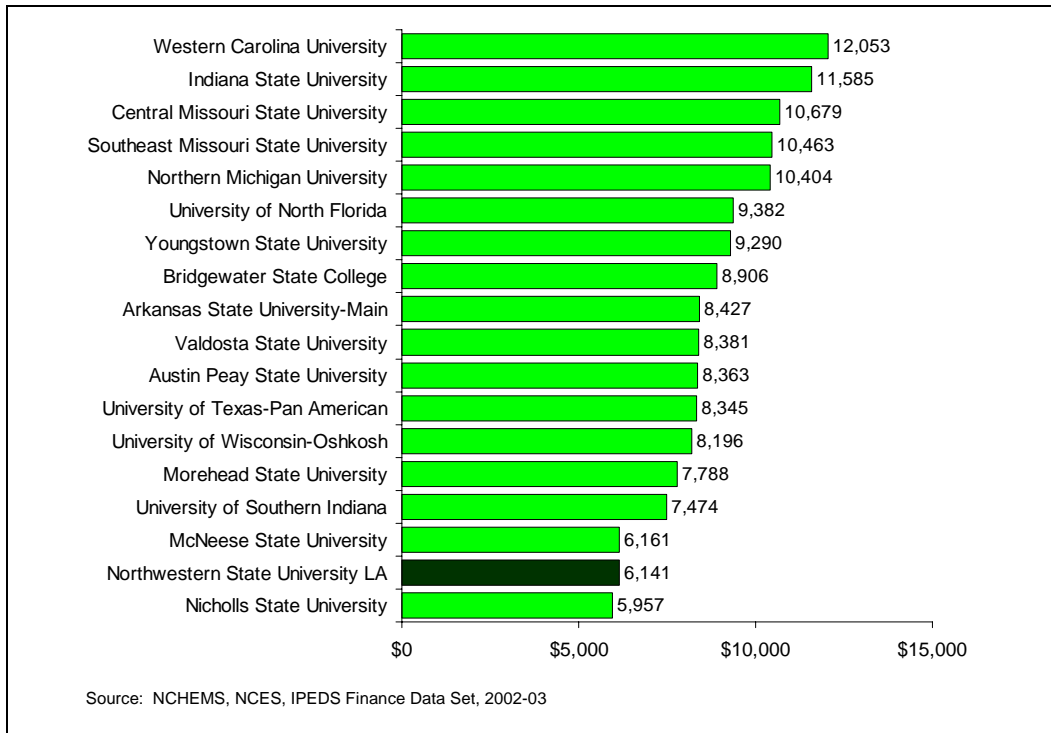
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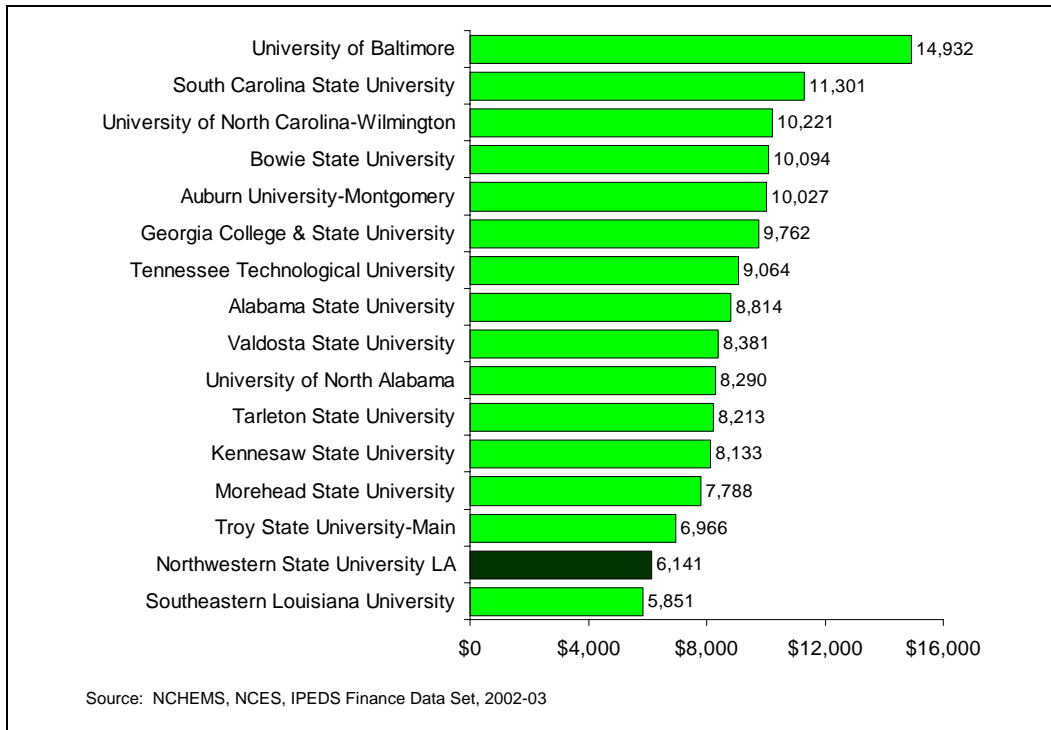
Tuition & Fees and State & Local Appropriations per FTES, 2002-03

Figure 5

GROUP 1



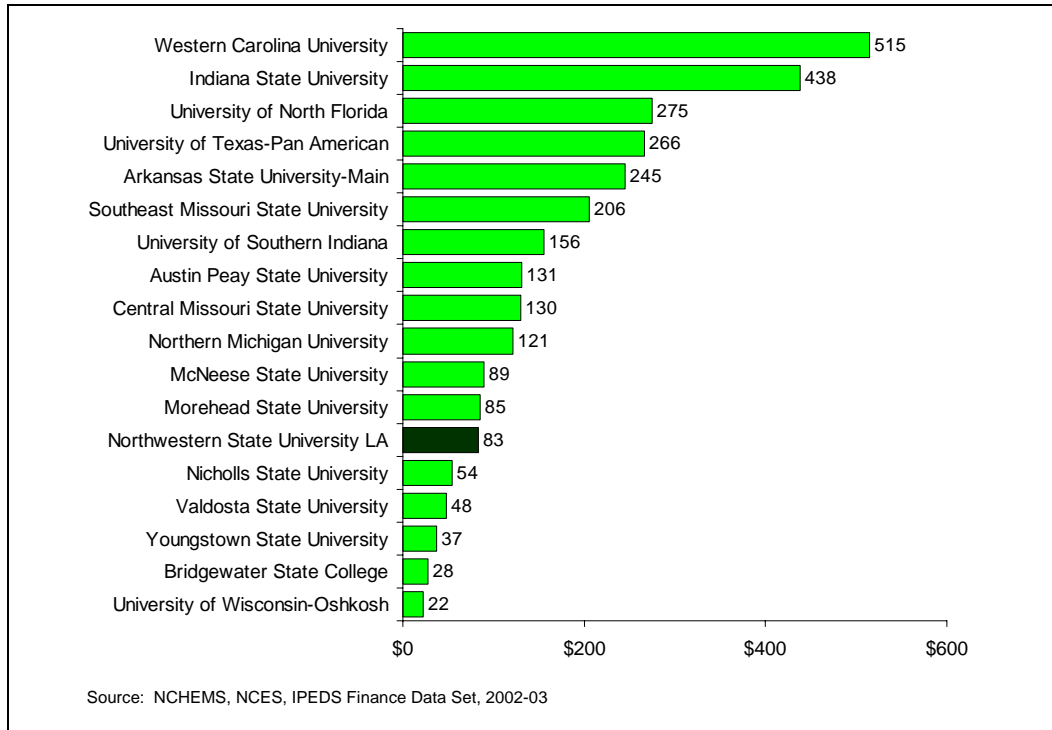
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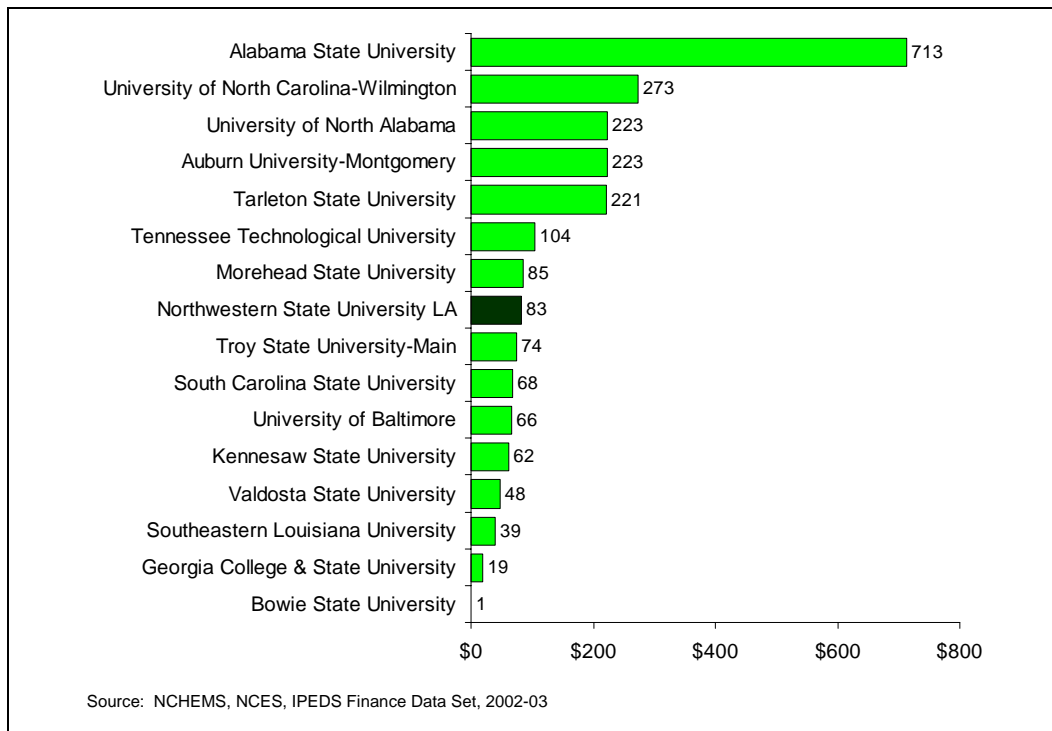
Endowment Income per FTES, 2002-03

Figure 6

GROUP 1



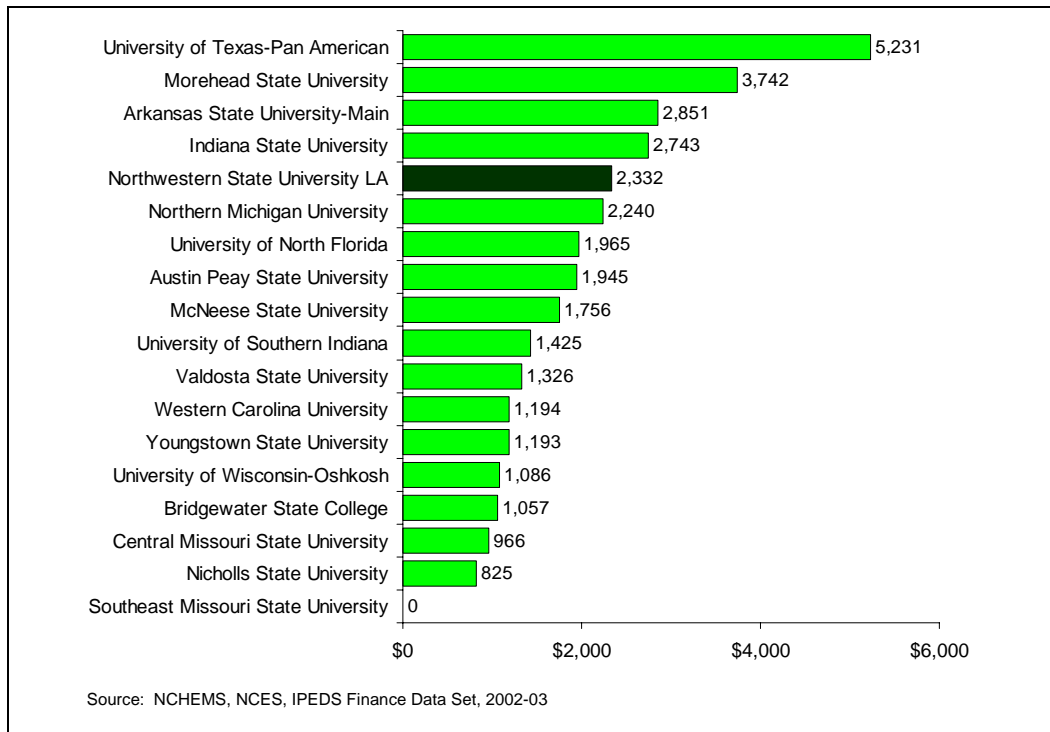
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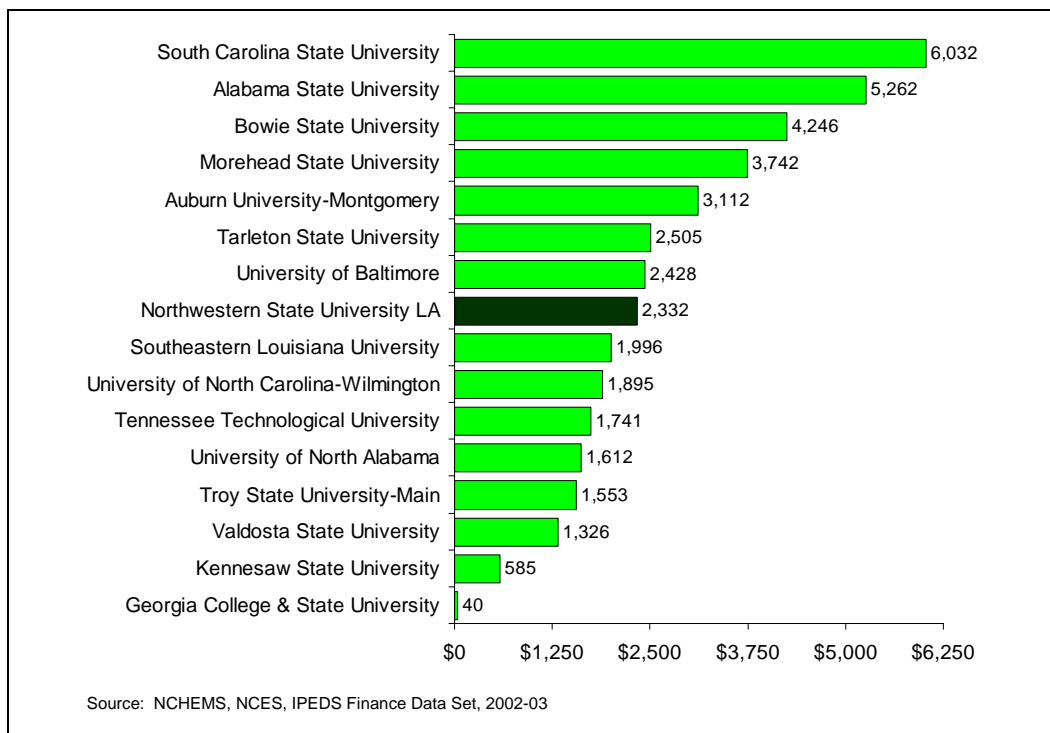
Government Grants and Contracts per FTES, 2002-03

Figure 7

GROUP 1



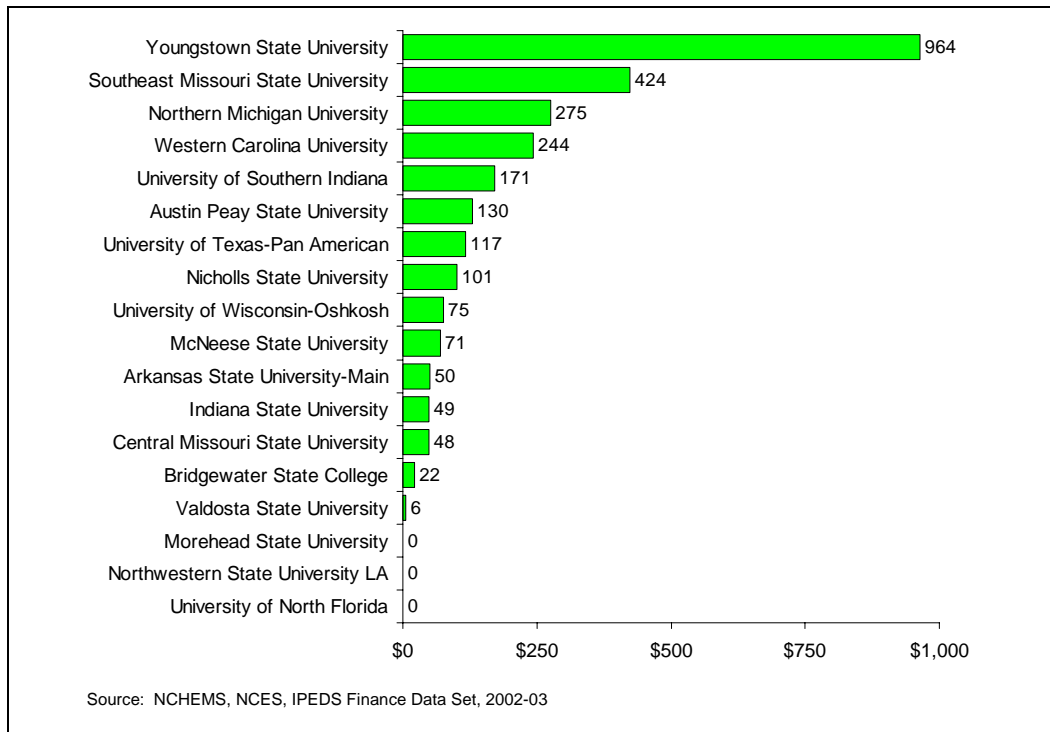
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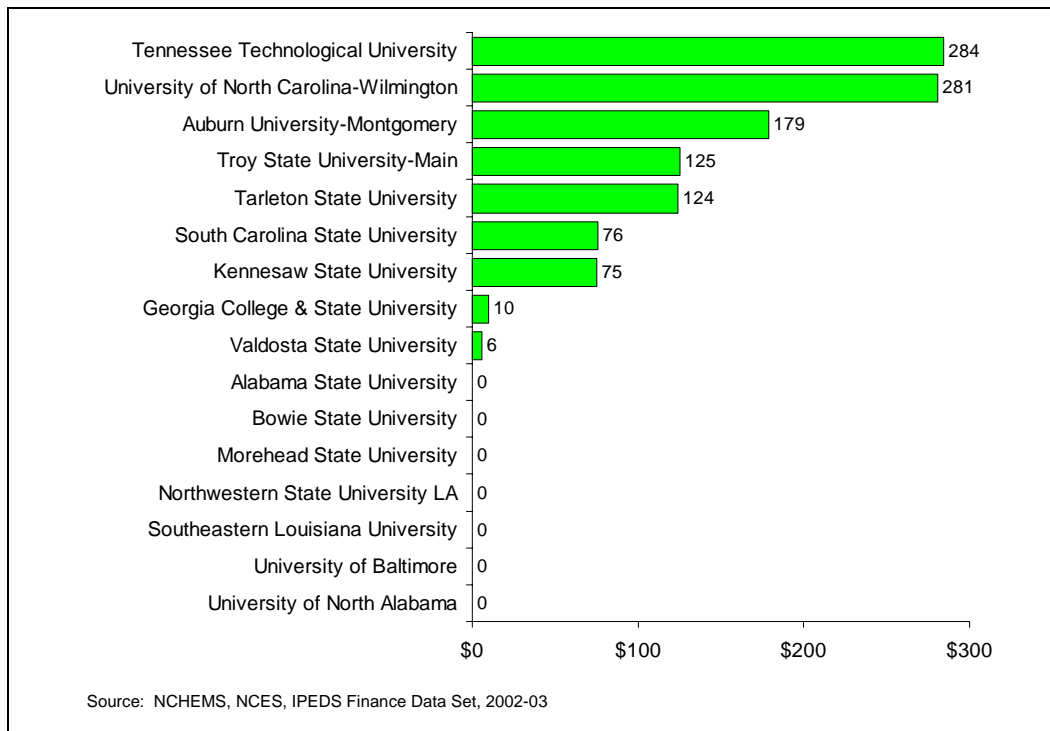
Private Gifts, Grants, and Contracts per FTES, 2002-03

Figure 8

GROUP 1



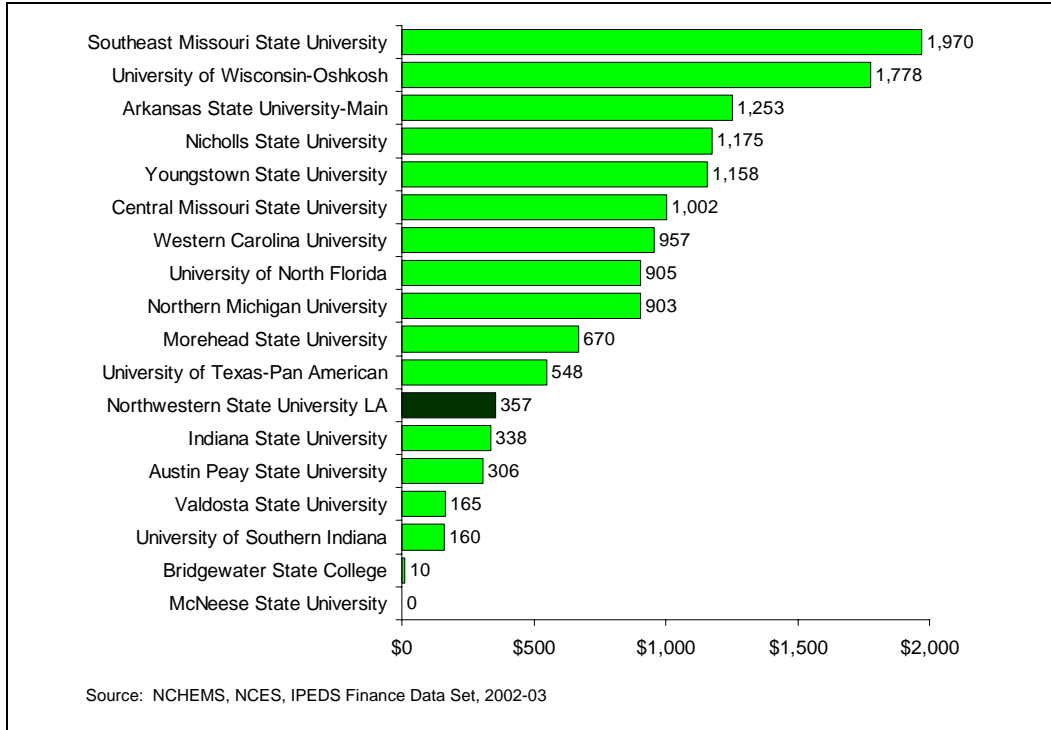
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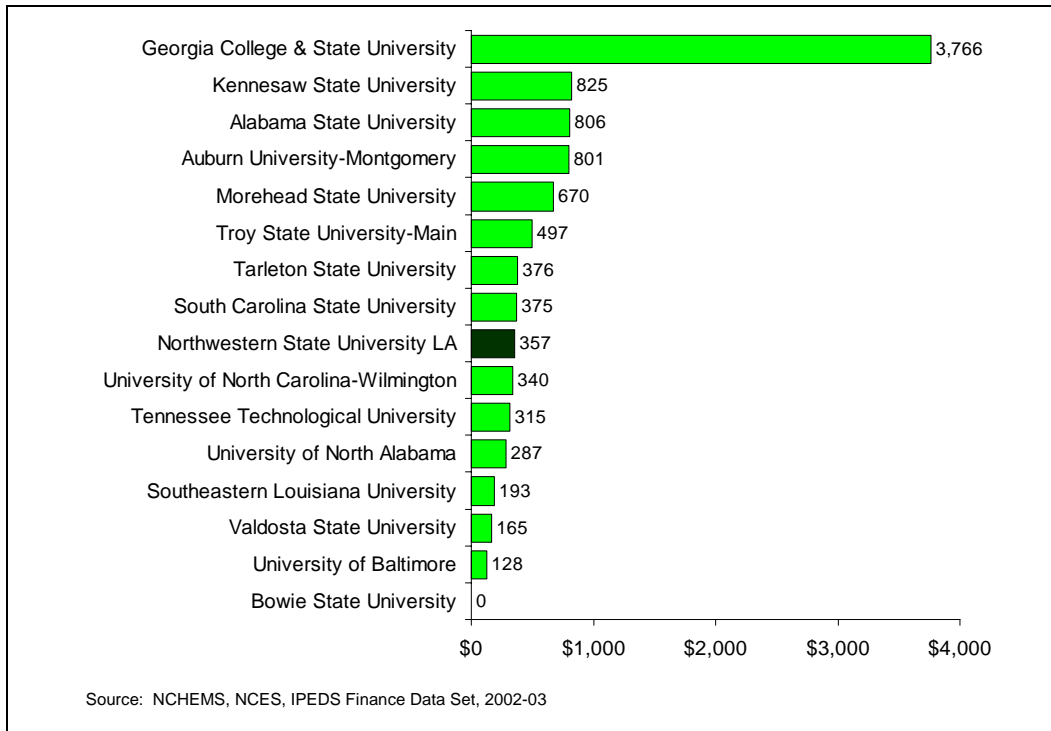
Other E&G Revenue per FTES, 2002-03

Figure 9

GROUP 1

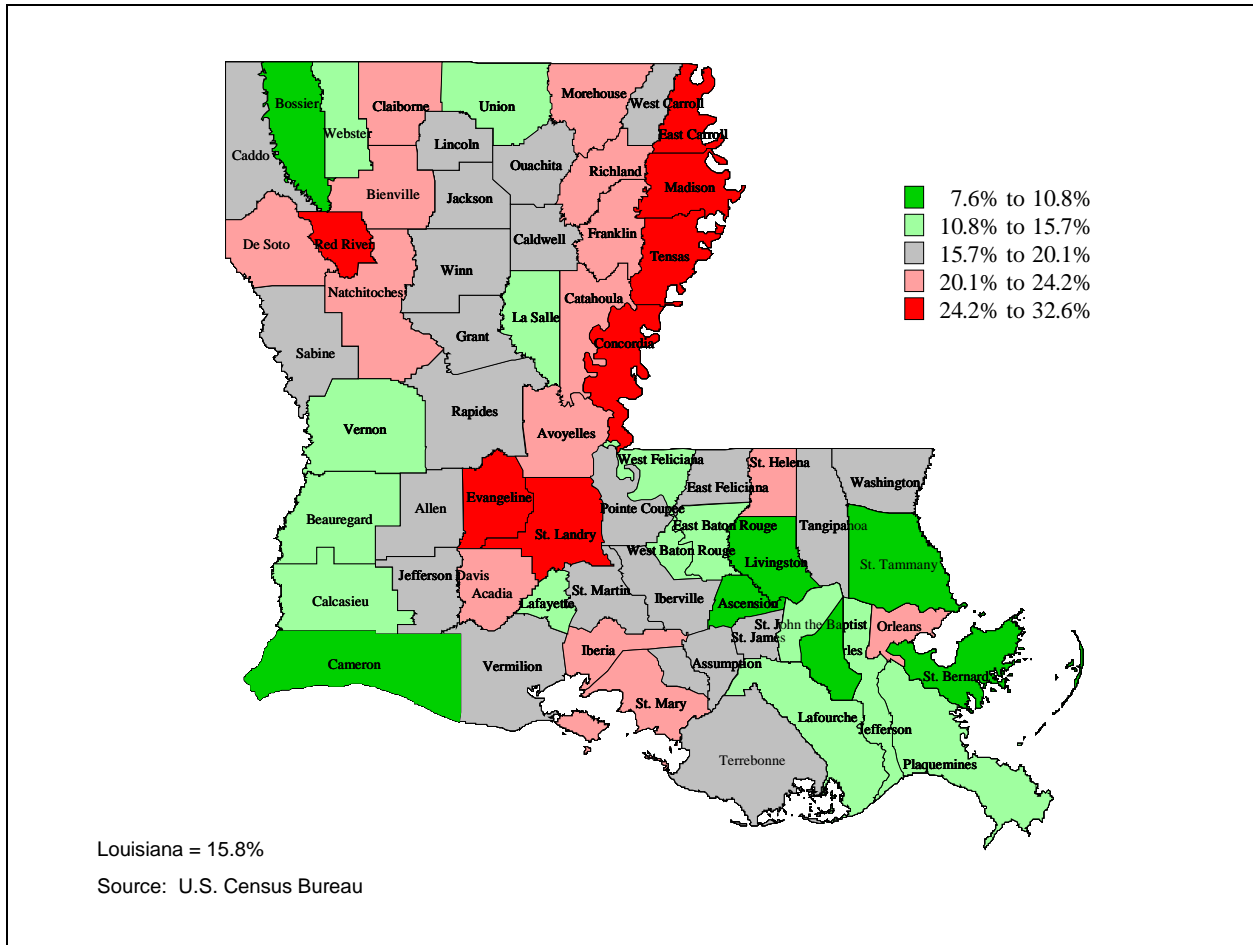


GROUP 2



Percent of Families Living in Poverty Louisiana, 1999

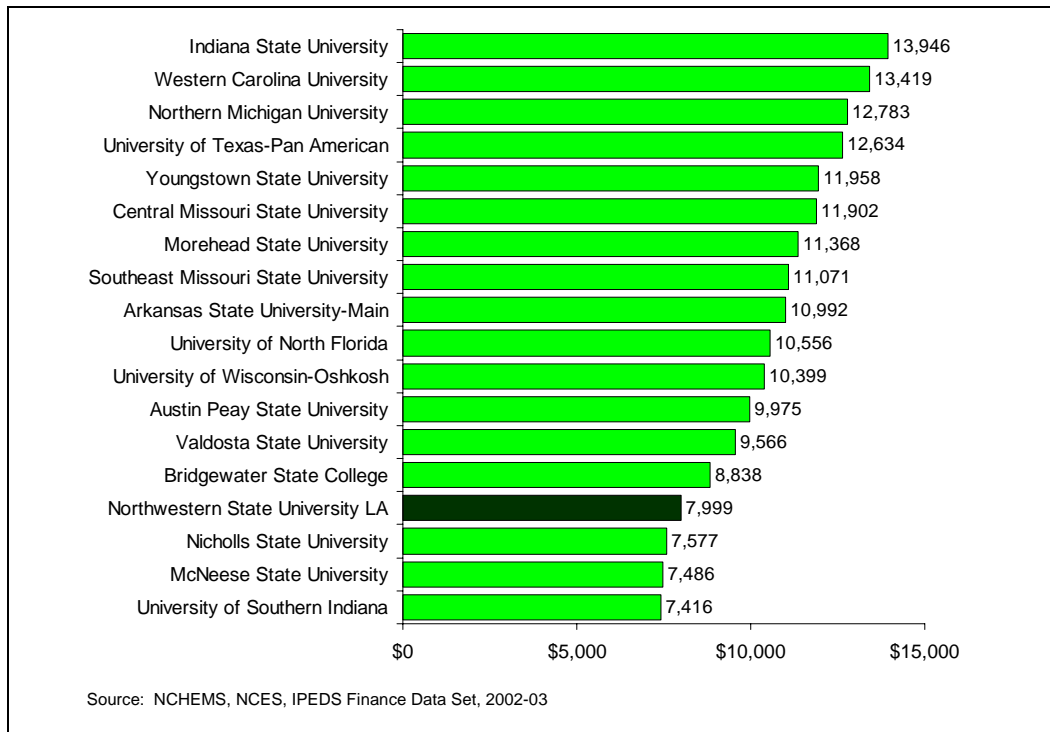
Figure 10



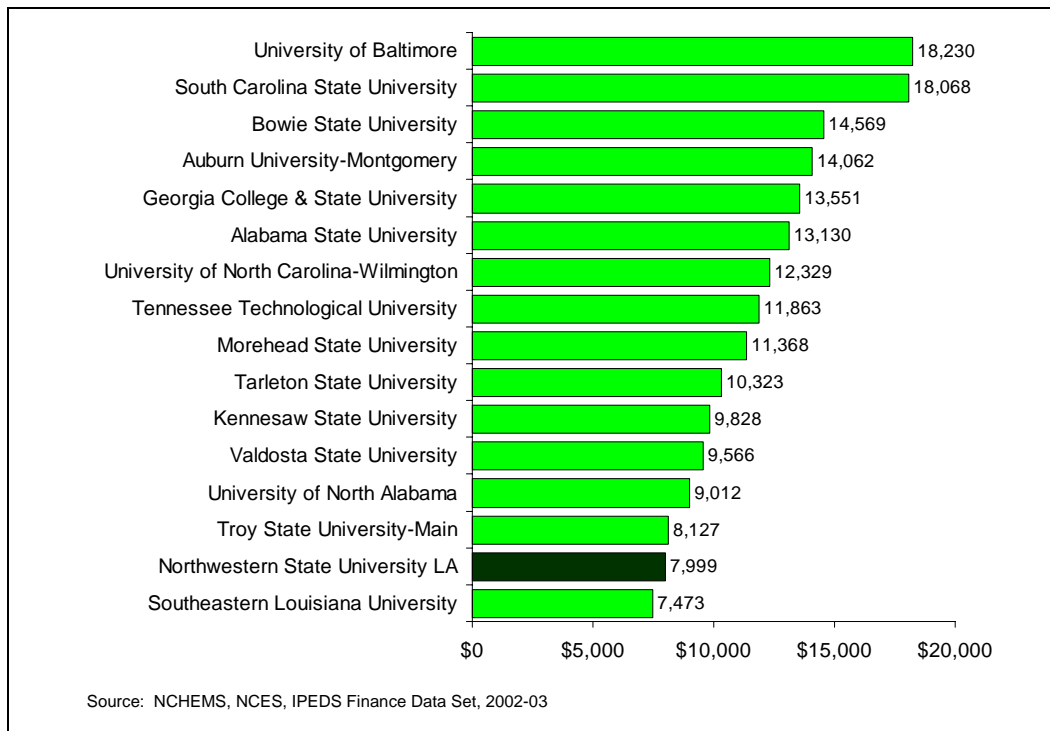
Total E&G Expenditures per FTES, 2002-03

Figure 11

GROUP 1



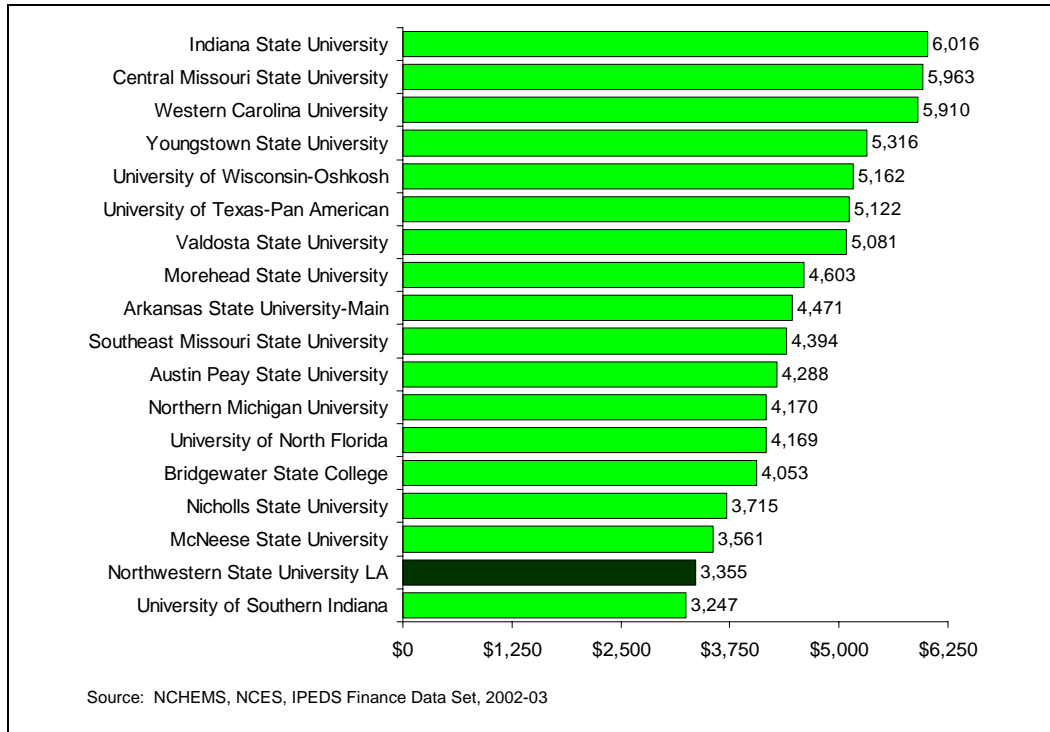
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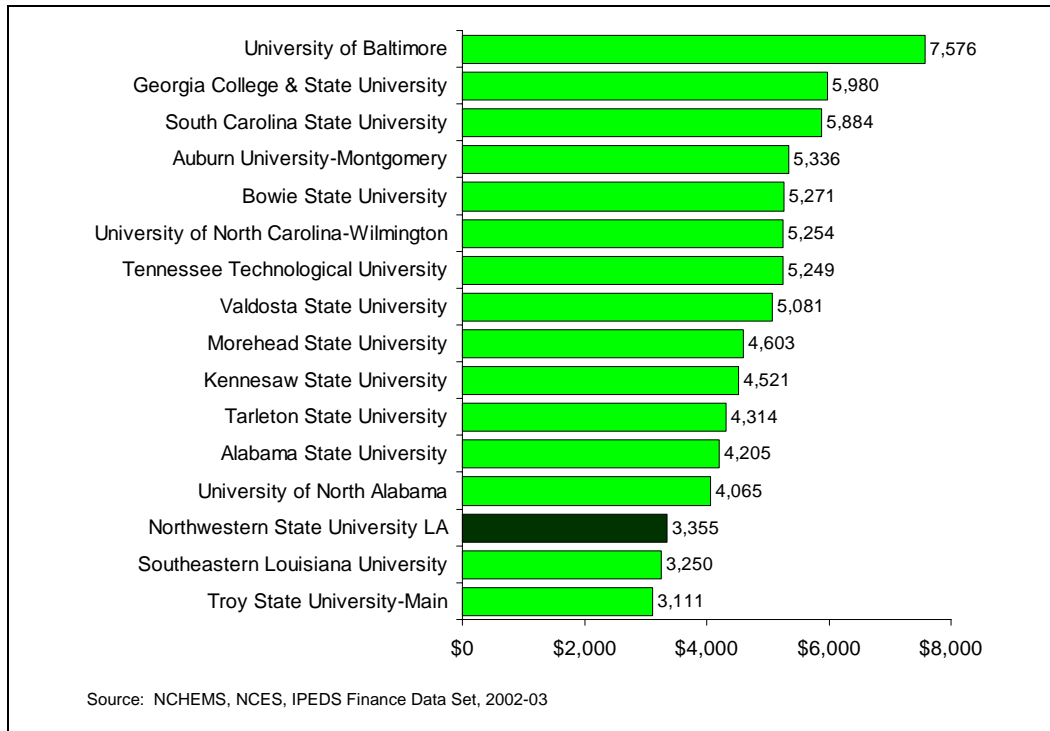
Instruction Expenditures per FTES, 2002-03

Figure 12

GROUP 1



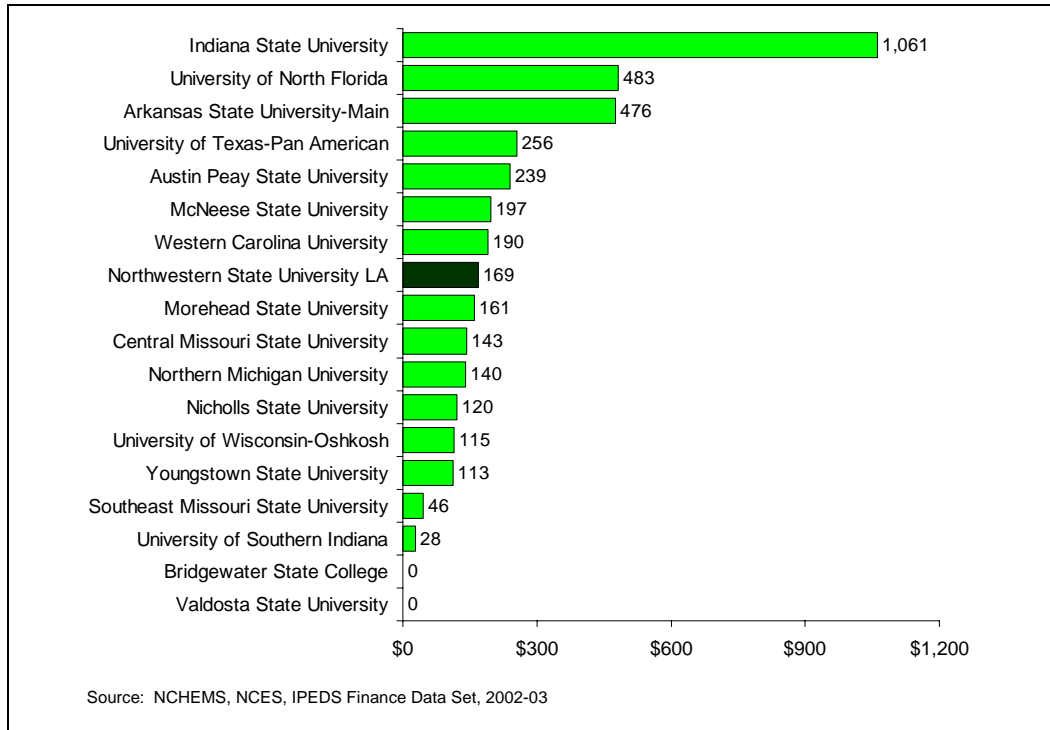
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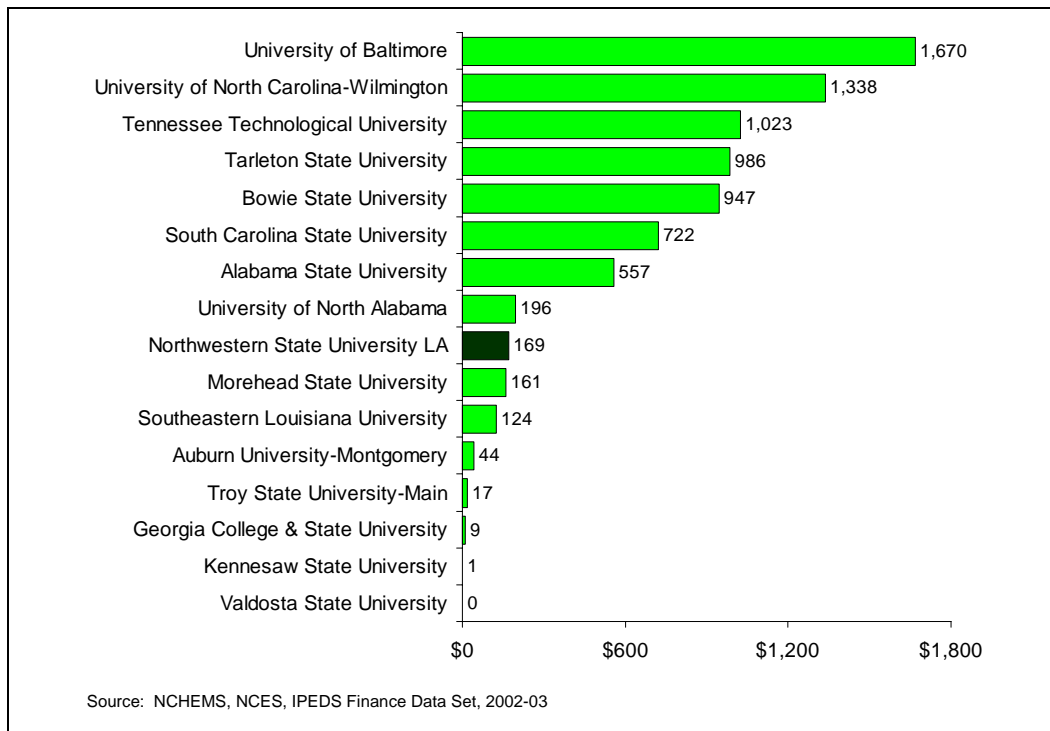
Research Expenditures per FTES, 2002-03

Figure 13

GROUP 1



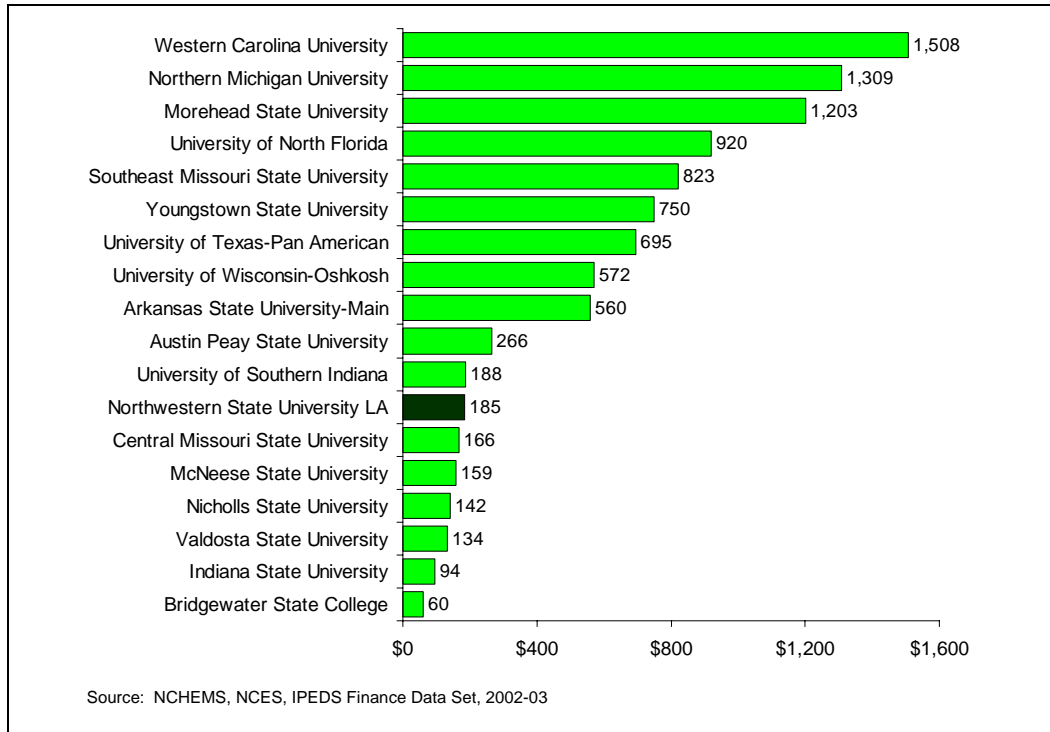
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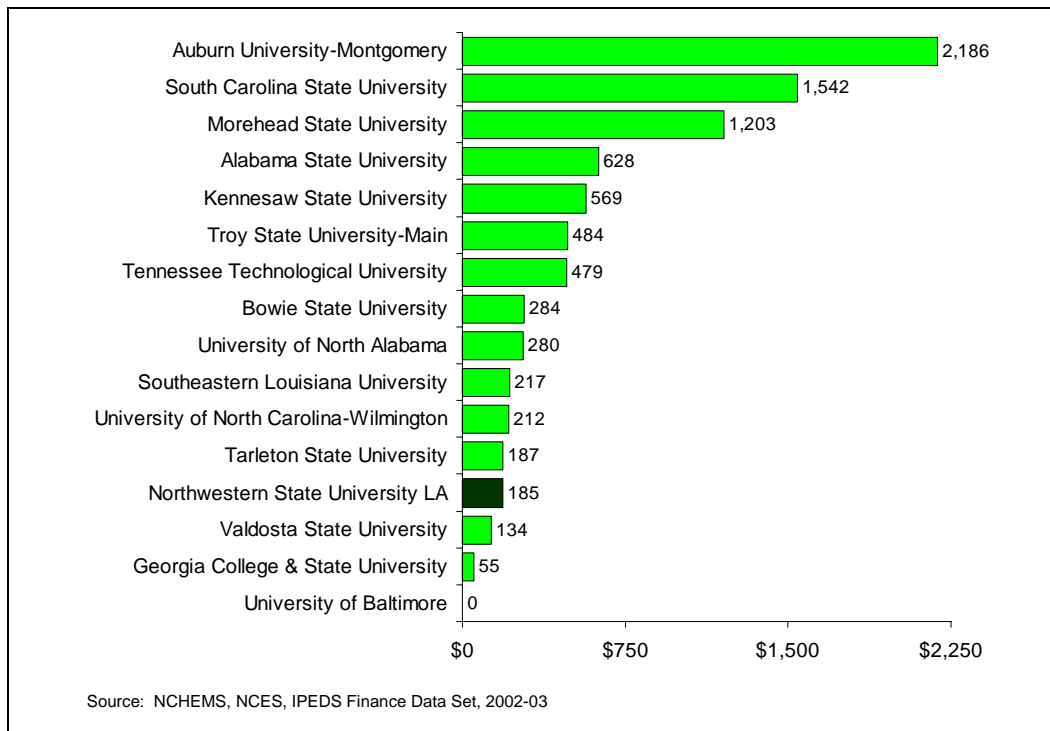
Public Service Expenditures per FTES, 2002-03

Figure 14

GROUP 1



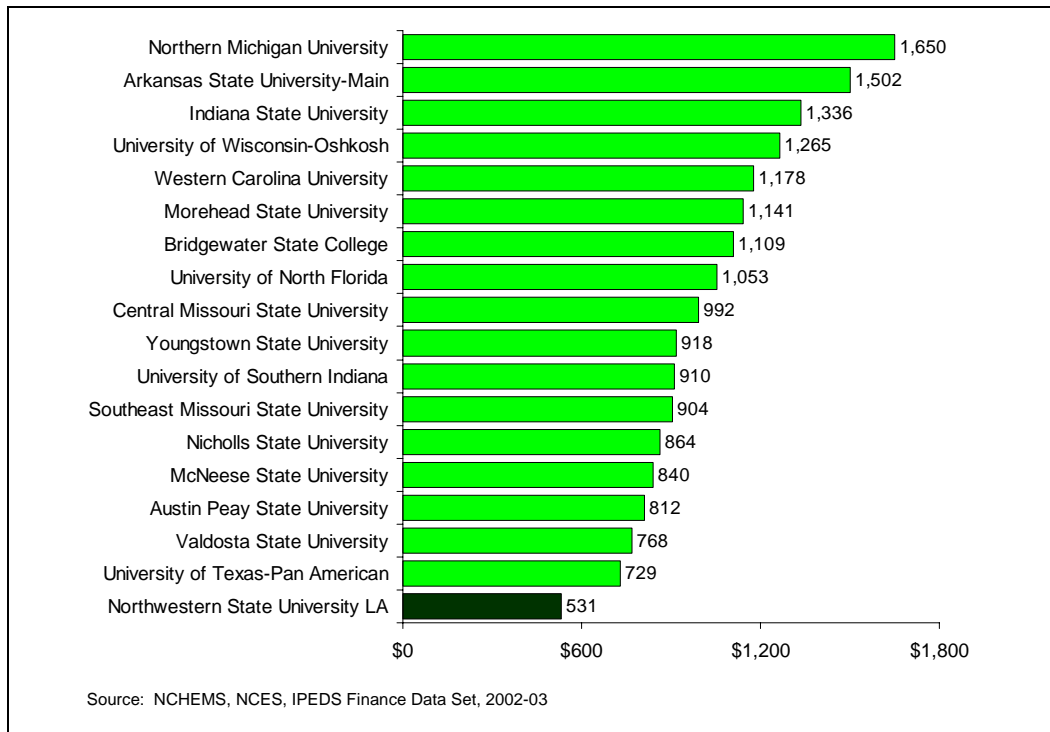
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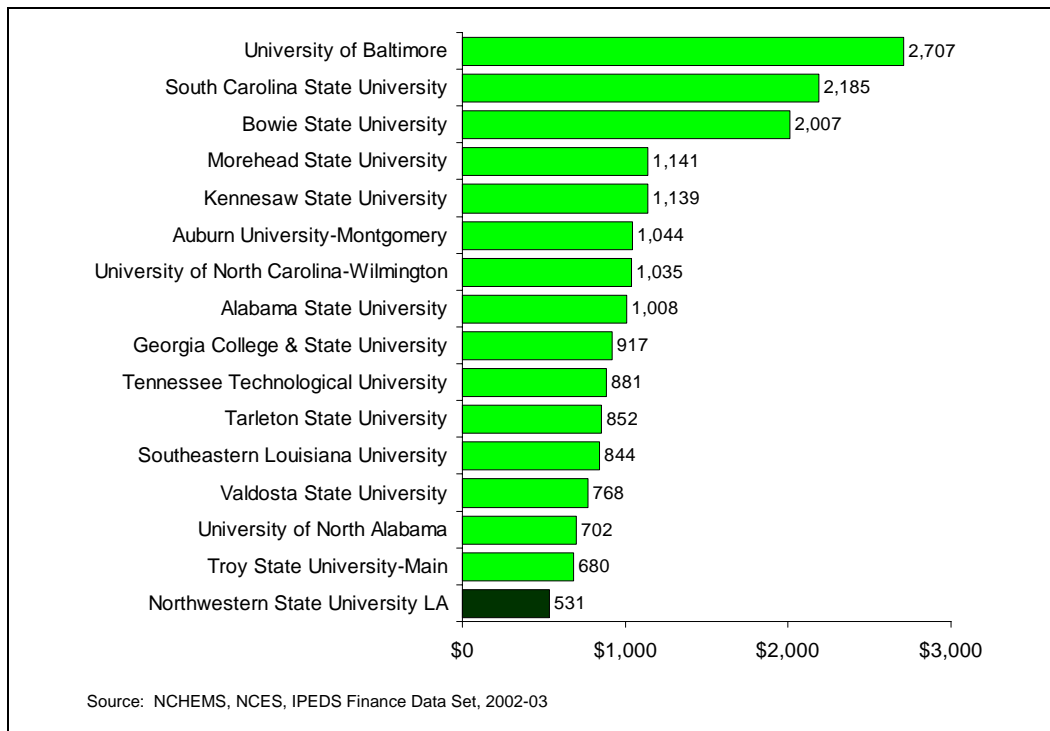
Academic Support Expenditures per FTES, 2002-03

Figure 15

GROUP 1



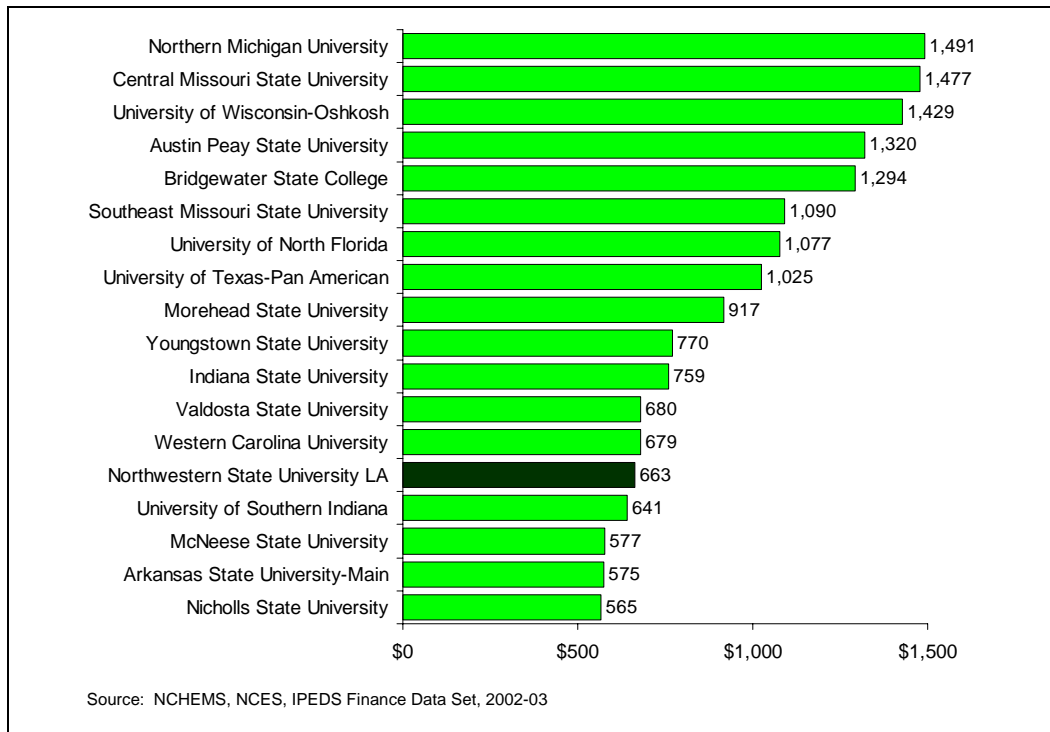
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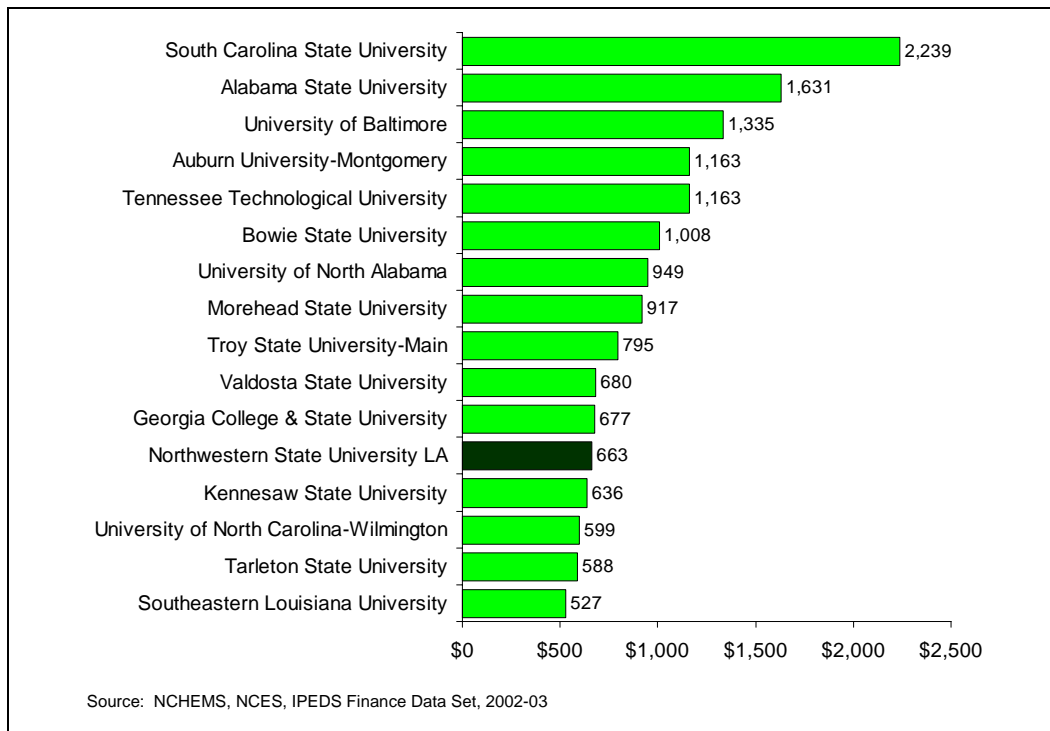
Student Services Expenditures per FTES, 2002-03

Figure 16

GROUP 1



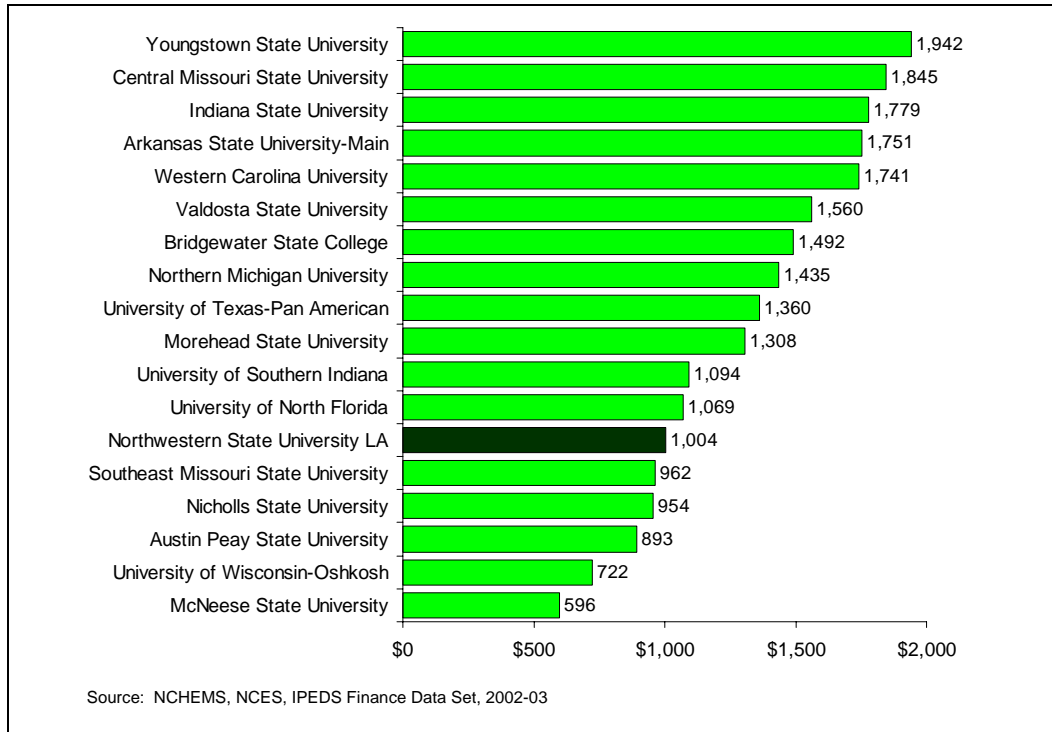
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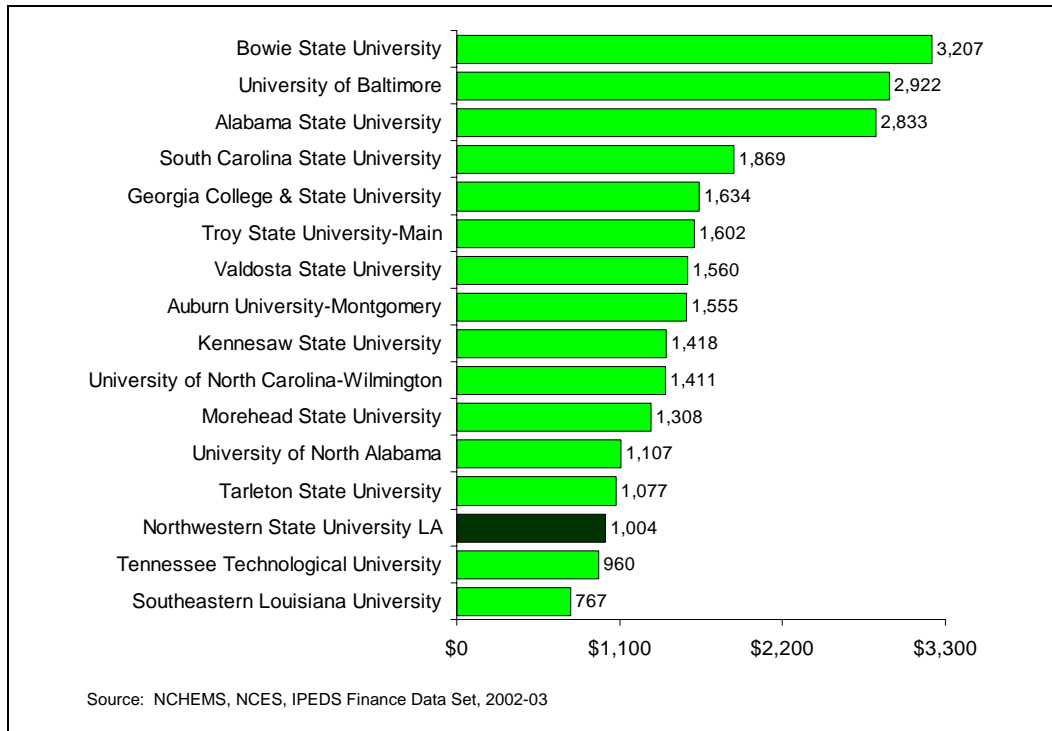
Institutional Support Expenditures per FTES, 2002-03

Figure 17

GROUP 1



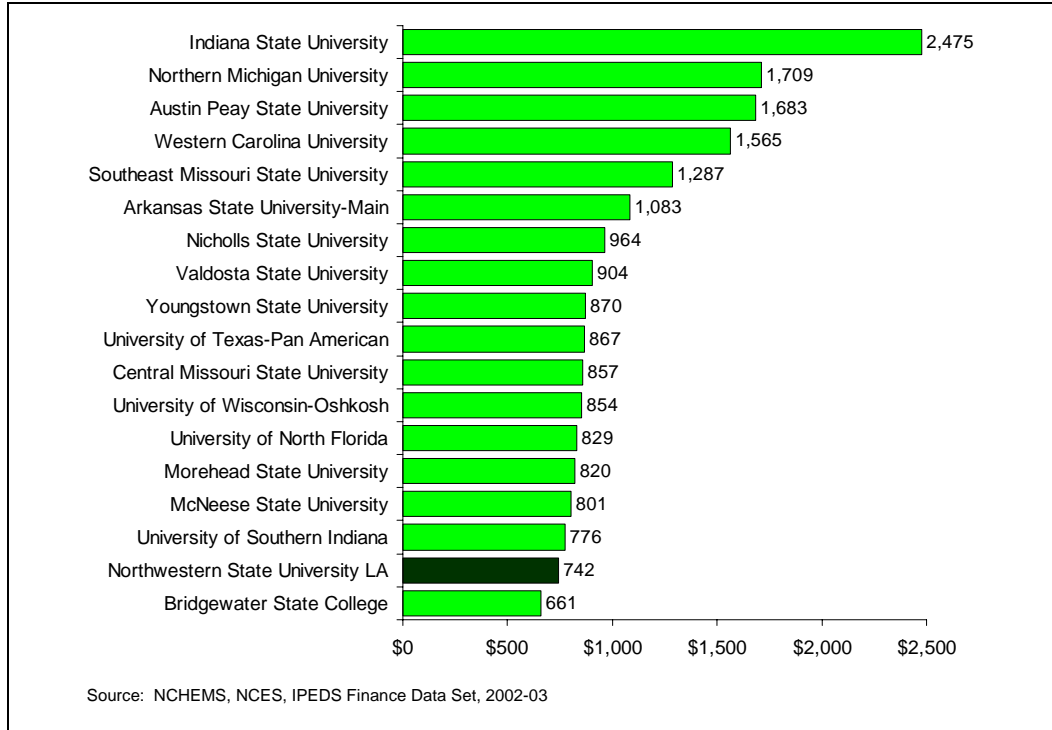
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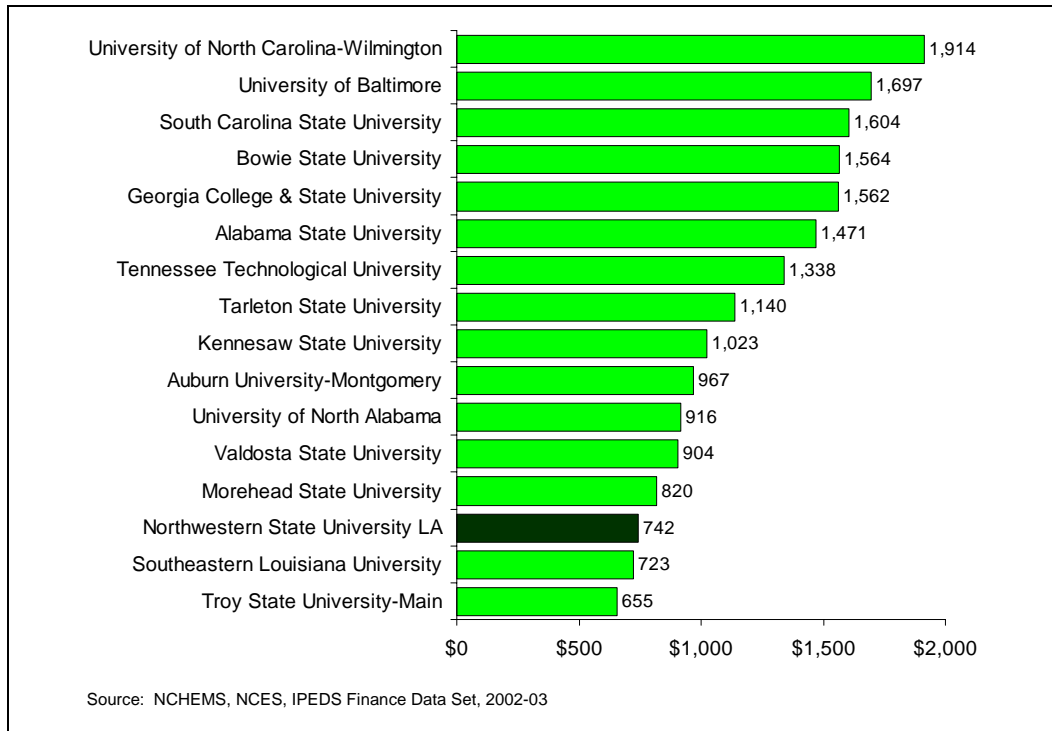
Plant Operation and Maintenance per FTES, 2002-03

Figure 18

GROUP 1



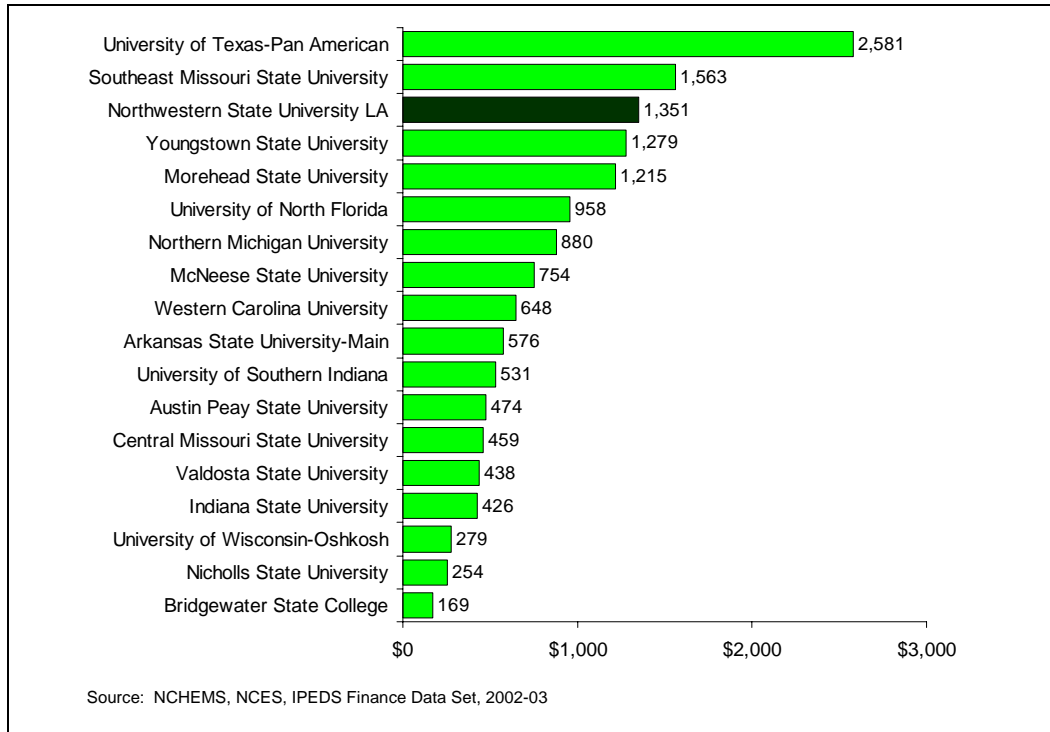
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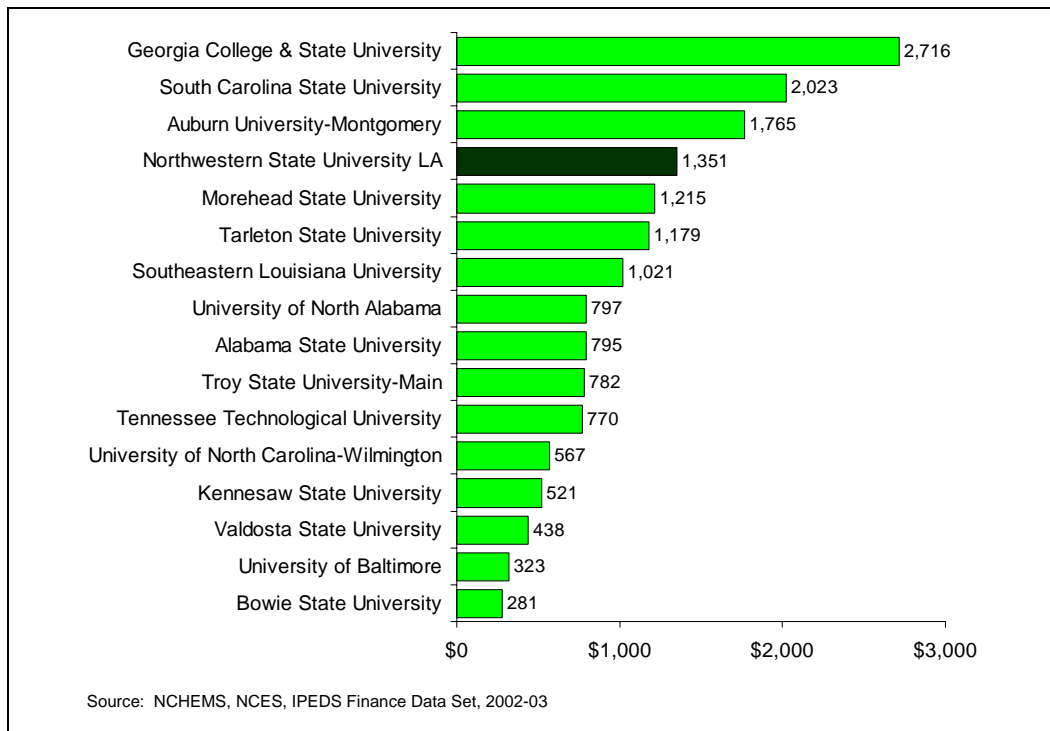
Scholarships and Fellowships per FTES, 2002-03

Figure 19

GROUP 1



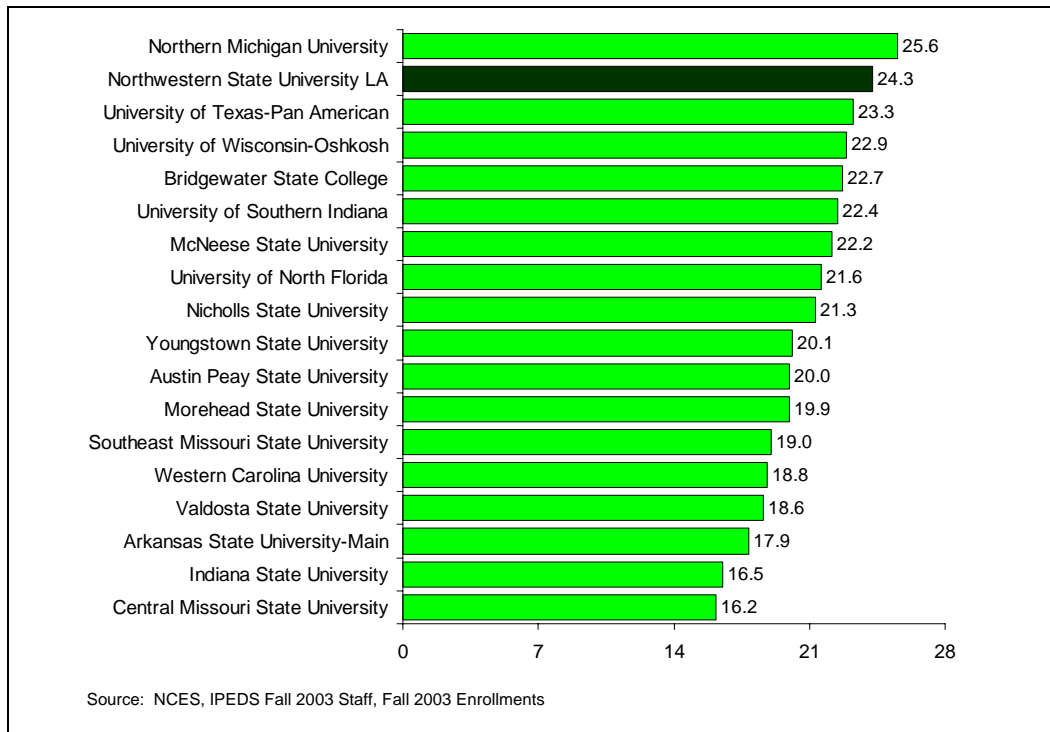
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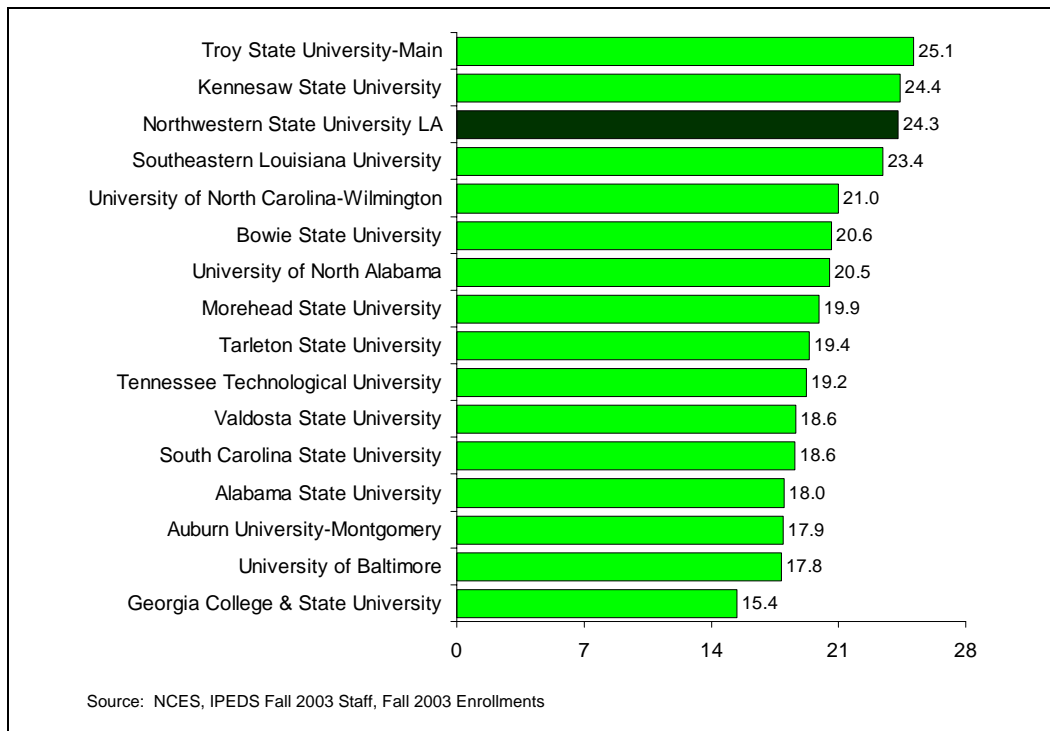
FTE Students per FTE Faculty, Fall 2003

Figure 20

GROUP 1



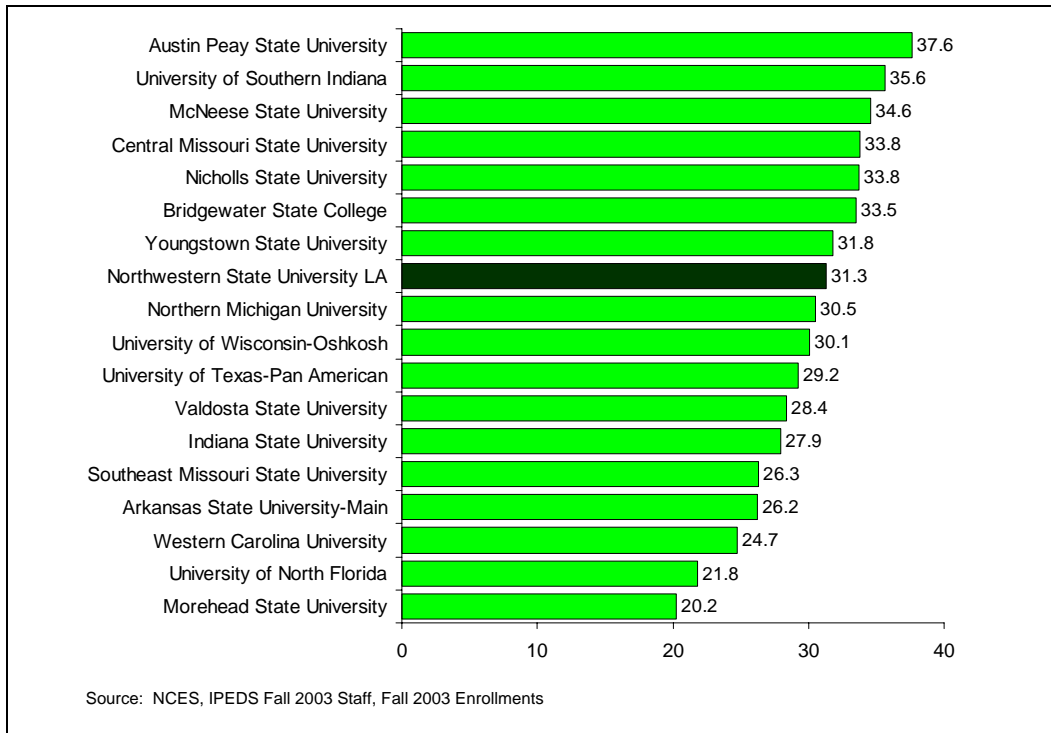
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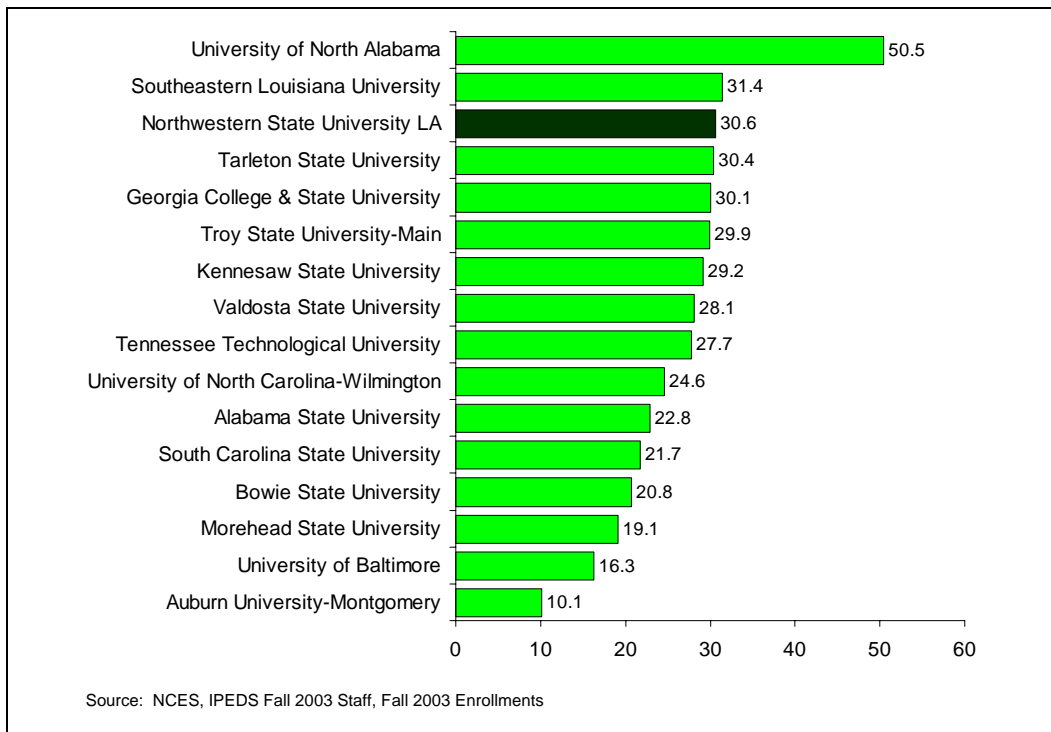
FTE Students per Full-Time Executive/Administrator/Manager and Other Professional, Fall 2003

Figure 21

GROUP 1



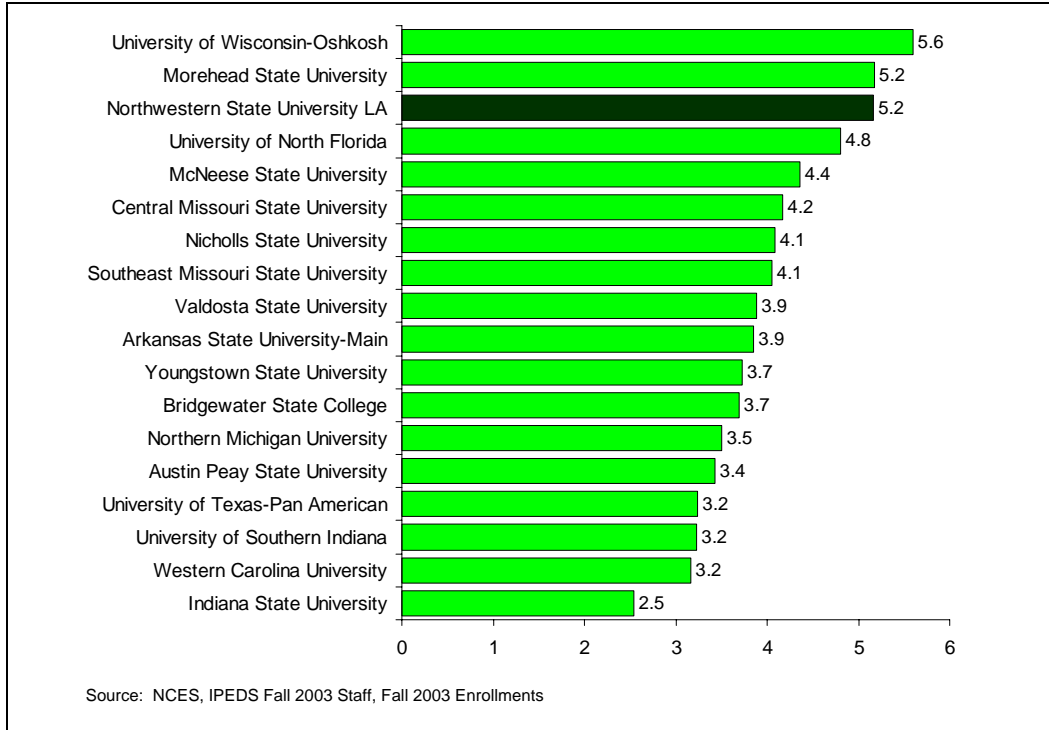
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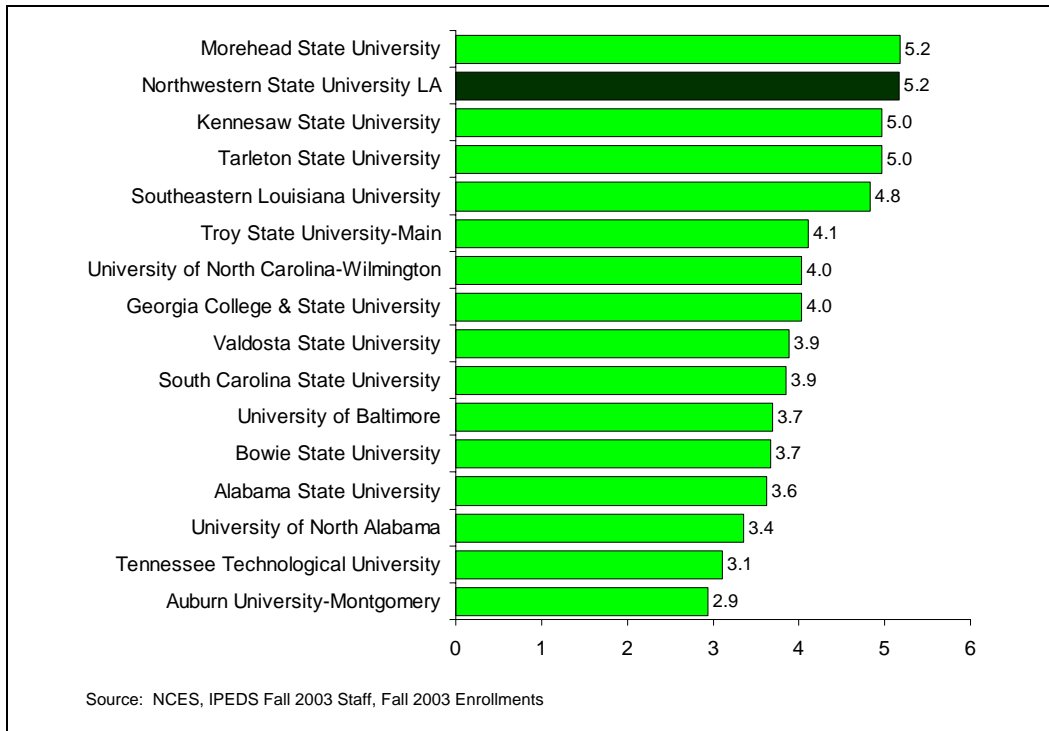
Full-Time Exempt per Full-Time Clerical, Fall 2003

Figure 22

GROUP 1



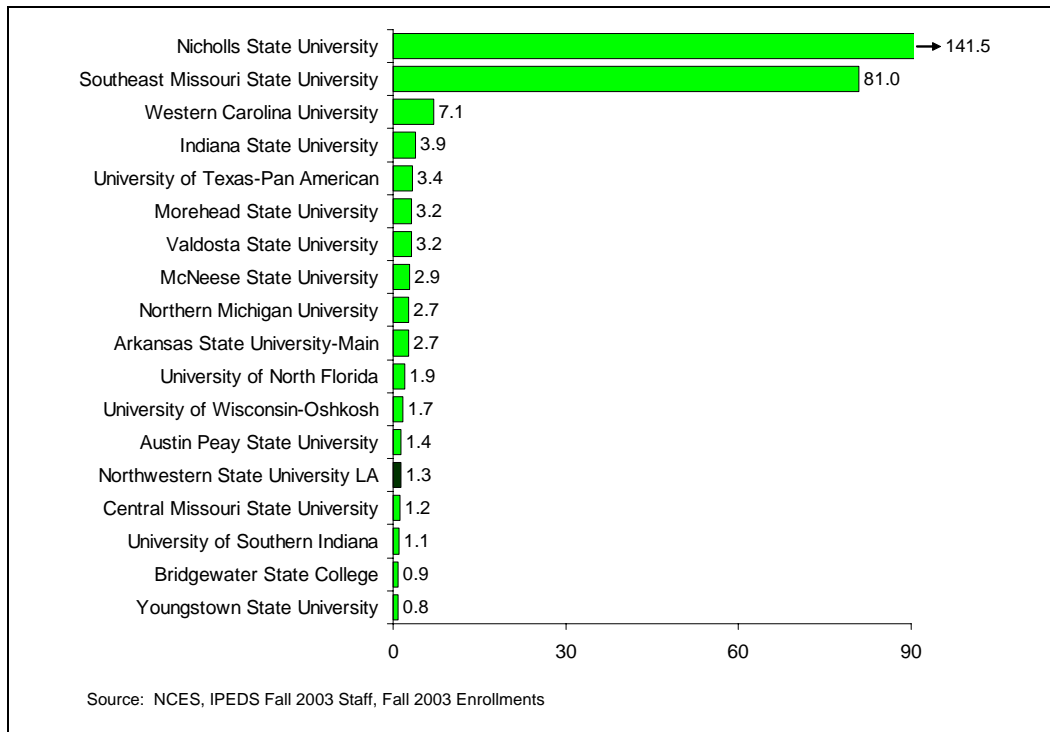
GROUP 2



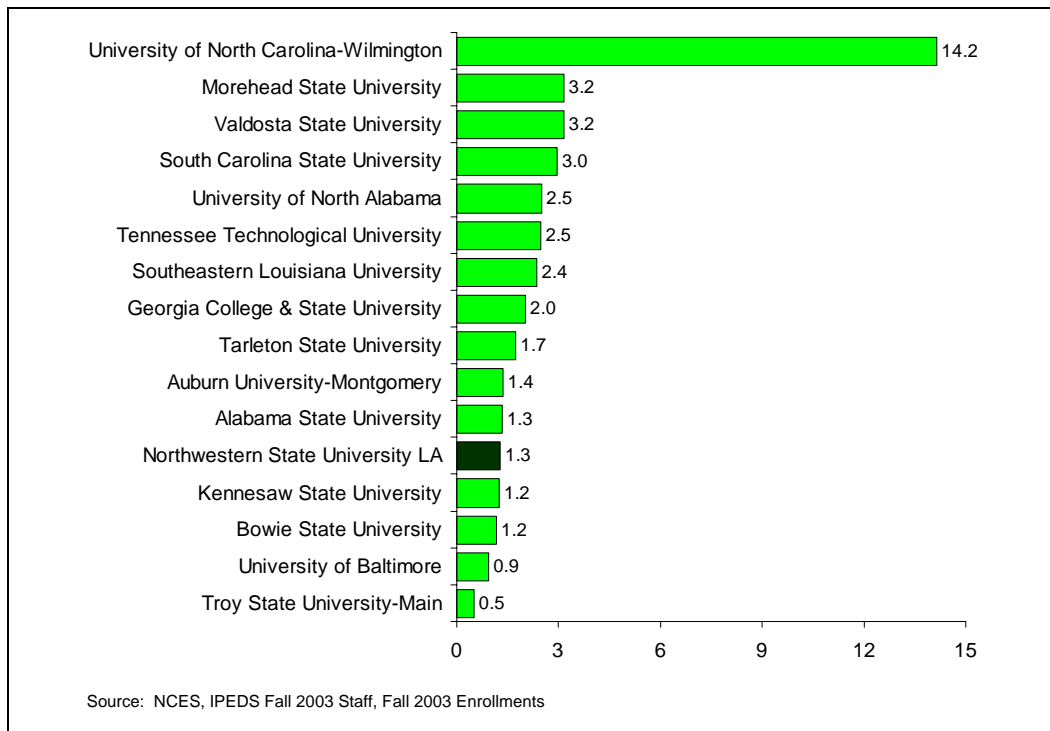
Full-Time Faculty per Part-Time Faculty, Fall 2003

Figure 23

GROUP 1



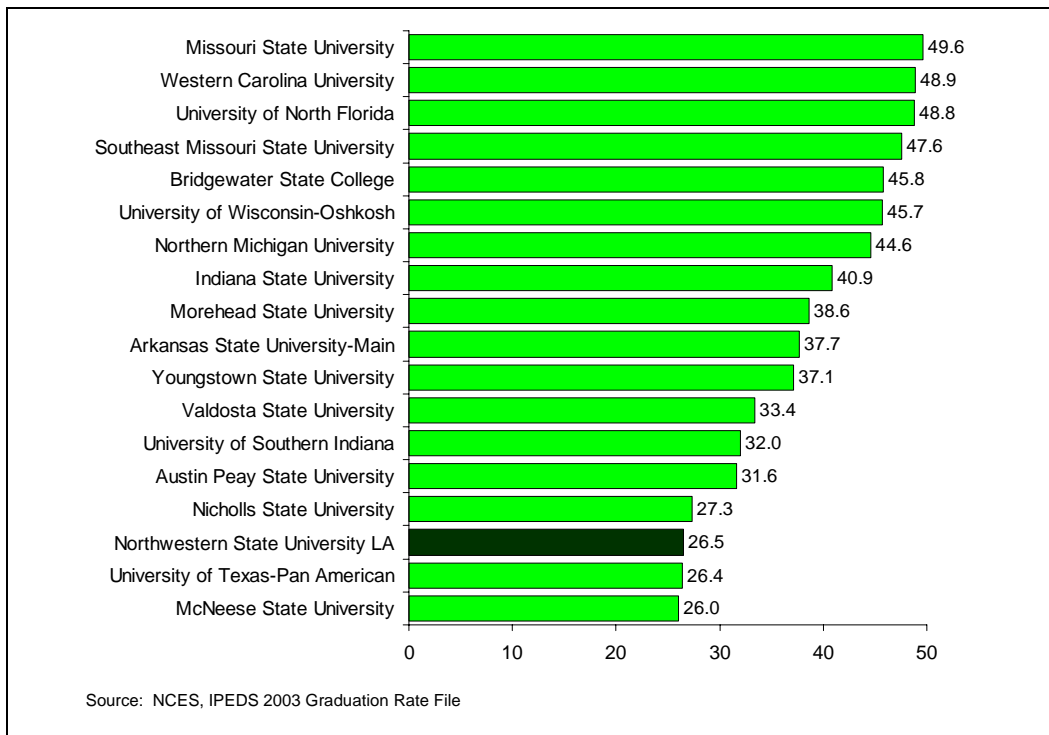
GROUP 2



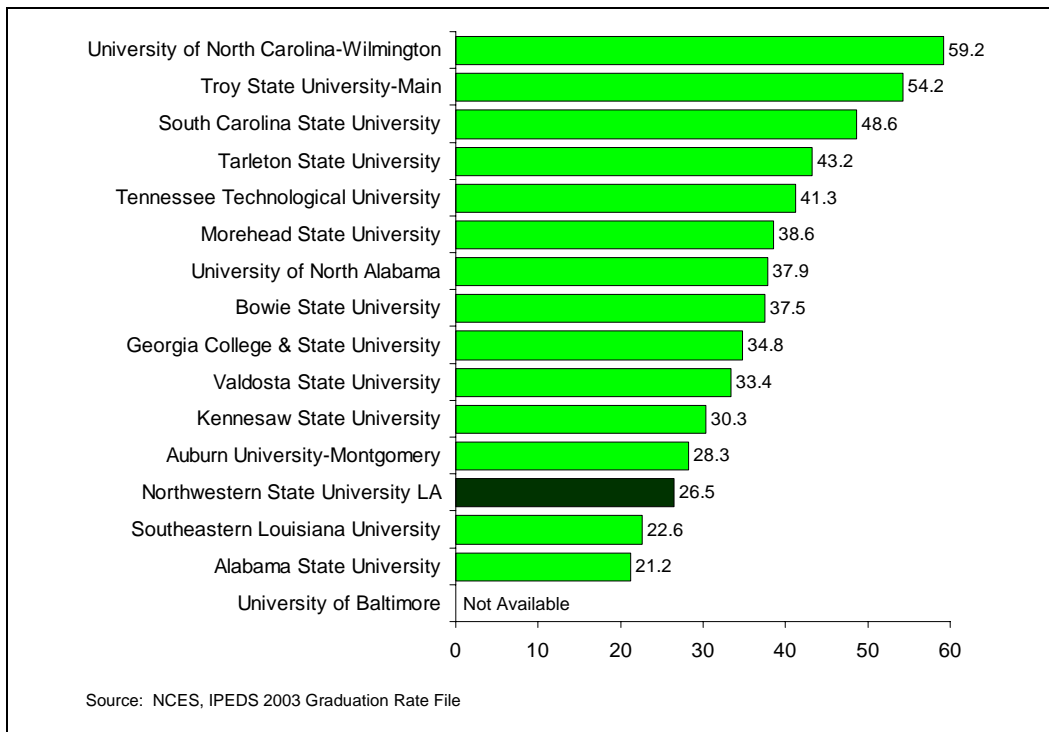
Graduation Rates—Completers Within 150% of Program Time, 2003

Figure 24

GROUP 1



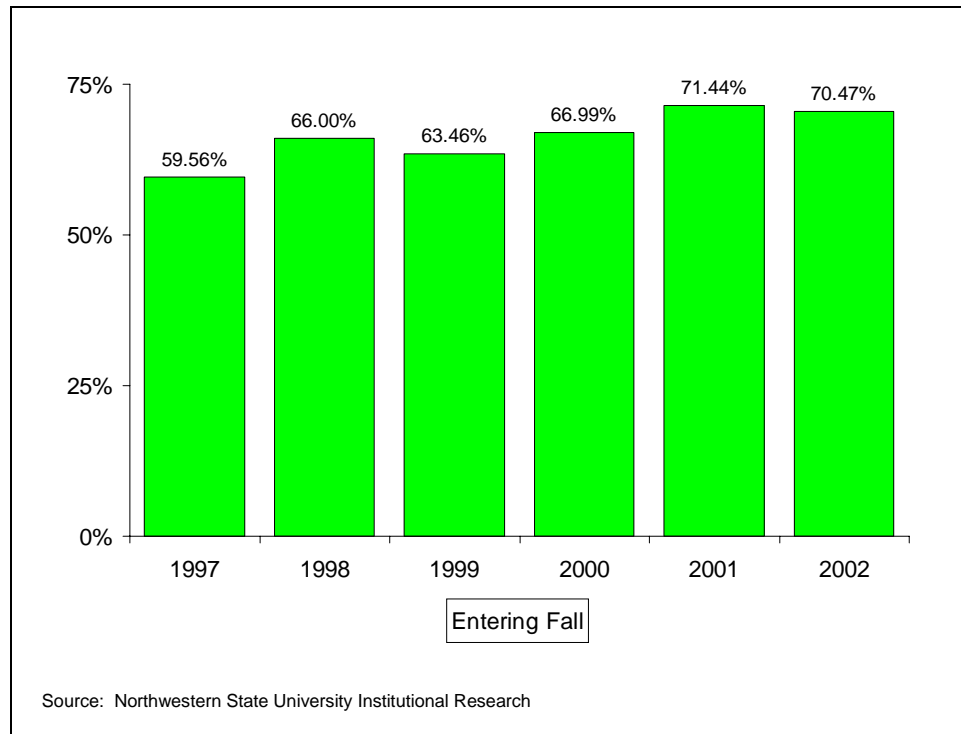
GROUP 2



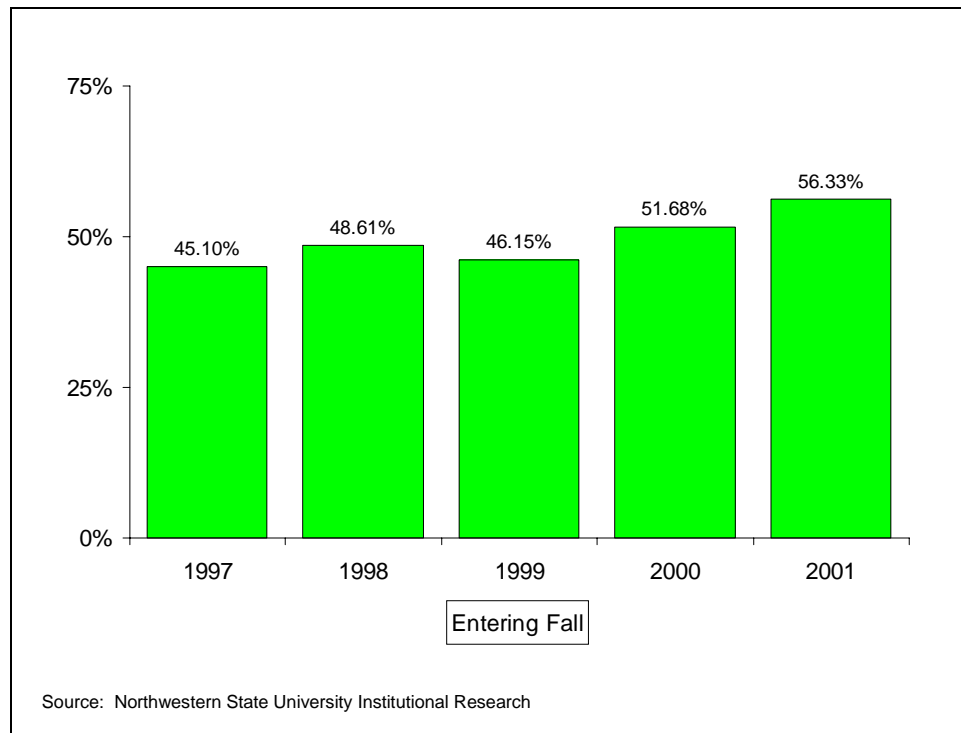
Year-to-Year Persistence Rates

Figure 25

1-YEAR



2-YEAR



APPENDIX C
Unique Areas of Excellence

NORTHWESTERN'S AREAS OF EXCELLENCE

2003-04

Educational Technology received funding for the University's first Endowed Chair.

1. \$1,000,000 endowed chair (Schlieder Educational Foundation ETEC)
2. \$ 100,000 endowed professorship (Dan & Lilly Chase)
3. More than \$700,000 in State and Federal grant funding
4. Faculty publications include one book, seven articles

Graduate Studies in Research and Nursing

1. \$100,000 endowed professorship (Creighton Owen)
2. More than \$200,000 in State and Federal grant funding
3. Faculty contributed to five chapters in books

Industrial Engineering Technology

1. More than \$400,000 in State, Federal and other grant funding
2. Faculty contributed to two chapters in books
3. Received ABET accreditation

Louisiana Honors College

1. Faculty published one book
2. Student, Alexander Billioux, was named Marshall Scholar

Computer Information Systems

1. \$100,000 endowed professorship (BellSouth Endowed Professorship of Telecommunications)
2. More than \$200,000 in State and Federal grant funding
3. Two professors are in the process of writing a textbook for publication
4. Citations: CIS program was highlighted in the September issue of "Business Week"
5. Citation: Student chapter won the AITP National Student Chapter of the Year Award

APPENDIX D
Article on Strategic Budgeting

STRATEGIC BUDGETING¹

Institutional assets are protected best when the central administration provides clear direction.

The most commonly held perspective on budgeting in American higher education is likely that expressed by Caruthers and Orwig (1979, p. 1): “The budget is an instrument that enables the allocation of resources from one organizational unit to another, whether it be from a department to a faculty member, from a college to a department, from a university to a college, or from a funder to the university.” This definition brings the distributional function of the budget to the forefront; it describes budgeting as a process unfettered by linkages to plans and priorities. Jones (1984, p. 13), however, emphasized this linkage, noting that “a budget’s primary function is to span the distance between intention and action. It is the device by which [an organization] carries out its plans and by which it signals its priorities.”

A synthesis of these two, and other, generally similar, definitions yields the conclusion that budgeting is a process of *making decisions that distribute resources to enable action*. Disassembling this composite definition and inspecting the components more closely can be instructive. First, the definition calls attention to the obvious but often overlooked fact that a budget represents a collection of decisions. As such, various approaches to budgeting are best understood by focusing on the kinds of decisions required in the process rather than on the various processes by which those decisions are achieved. Second, the definition serves to reinforce the notion that the purpose of the budget is to implement the institution’s plans; the budget is a major (but not the only) tool for ensuring that institutional goals are pursued and, in the end, achieved.

On a conceptual level, there is seldom serious disagreement with these two points, once articulated and considered. Further, the simple phrase that the budget distributes resources is likely unquestioned as an expression of the essence of what budgeting is about. The overriding concern of most participants in the budgeting process is “Who gets how much?”—a question that reveals a fixation on distribution of financial resources as the centerpiece of budgetary decision making. The central thesis of this chapter is that this focus is entirely too narrow if the intent of the budget is to implement an institution’s *strategic* plan. The development of an accompanying strategic budget requires a mechanism that places a series of decisions about the productive assets of the enterprise at the heart of the process.

Importance of Strategic Budgeting

Experience reveals that the budgeting exercise at many institutions starts and stops with the acquisition and allocation of financial resources. The budget process revolves around the tasks of estimating revenue changes and allocating increases (and, in some case, decreases) among the operating units of the institution. To the extent that budget guidelines are prepared centrally, they tend to include estimates of enrollment and revenue changes and to establish limits on price increases that will be allowed in major areas. The size of the salary increases for faculty tends to capture the greatest attention in such guidelines, but it is very common for the guidelines also to

¹ Dennis P. Jones, *New Directions for Higher Education*, no. 83, pp. 5-16. San Francisco, CA: Jossey-Bass Publishers, Fall 1993.

establish limits on allowable budgetary increases in such areas as travel, supplies, and equipment. The initial determination of salary increases frequently reflects consideration of salary levels at comparable institutions; targeted levels in other areas typically reflect inflationary changes in the prices of goods and services.

The guidelines may also establish overall limits for the various functional units of the institution: academic affairs, business affairs, student services, and so on. Within the guidelines, departments are asked to submit budget requests. Most such processes also allow special requests for additions to the departments' base budgets—the addition of faculty, for example—or for one-time expenditures for equipment or other items. Such requests are usually dealt with at the midmanagement or vice presidential level, with the basis of judgment most frequently being changes in workload (student demand for courses, larger physical plant to clean, and so on). In almost all cases, the initiative for identifying needs must come from unit heads; institution-level administrators enter the decision-making process when it becomes necessary to choose among competing requests.

This very common approach to budgeting has two noteworthy characteristics. First, it serves to constrain the domain of decisions made within the budget formulation process. The focus of decision making is on the prices that the institution is willing (or required) to pay to maintain the status quo. Fundamental questions about the quantity, quality, mix, and utilization of assets are addressed only when it becomes clear that inaction is no longer an option. Absent that kind of pressure, such questions are answered by assuming that “no change” best serves the needs of the institution.

Second, the approach is fundamentally unit-centered rather than institution-centered, a reflection of the fact that institutionwide administrators are basically reactive rather than proactive participants in the process. As a consequence, some of the core obligations of institutional administrators—to maintain, enhance, and shape the assets and the capacity of the institution as a whole—become subordinated to the sum of the decisions made at the unit level. This delegation of decision authority is unlikely to result in adequate investments in those assets that are everybody's and yet nobody's, such as buildings, certain equipment, and library books. This delegation of authority is also unlikely to result in necessary redistribution of assets, for example, eliminating some administrators and replacing them with faculty or other categories of personnel. When such trade-offs do occur, it is usually because competing alternatives are brought to senior administrators sitting as a court of last resort. But by the time institution-level administrators are confronted with these choices, it is likely that decision makers at lower levels have foreclosed options that would have better served institutional purposes (or that the options that would have better served the institution were never considered) .

This approach also ensures that the budgetary levers that institutional leaders can use to change the institution are very short. They consist largely of marginal (incentive or categorical) funds set aside for this express purpose. The possibilities of change are enhanced when assumptions about the asset base of the institution are challenged and changes are made as opportunities allow.

These characteristics make approaches that embody them poor mechanisms for carrying out an institution's strategic plan. When planning is conducted at the strategic (institutional) level and budgeting is centered at the operational (unit) level, the linkages necessary to move an institution in the directions identified in the plan become fragile at best. There is a need for strategic

budgeting as well as strategic planning, for an approach to budgeting that reflects an institutionwide perspective on resource allocation, that focuses on the basic asset structure of the institution rather than on the prices of those assets, and that puts central administrators in a proactive rather than a reactive role in this process.

The purpose of this chapter is to propose an approach to strategic budgeting that places decisions about the acquisition, maintenance, and utilization of institutional assets at the center of the budget process. The characteristics of assets that represent decision points in the budget process are examined, and the trade-offs among these decisions are discussed. In addition, the implications of this approach for the procedures of the budget process and for the roles of institutional administrators in the process are presented.

Basic Concepts of Strategic Budgeting

True consumables—payments for insurance, utilities, travel, and expendable office and laboratory supplies—represent a relatively small portion of an institution's budget. At most institutions, the proportion is less than a quarter. Payments for purchased services, particularly the services of part-time faculty, may drive this proportion higher. At the extreme, however, such payments seldom represent more than 30 to 40 percent. The rest of the budget comprises payments made to create or maintain the institution's assets, those tangible things and intangible rights that constitute the valued resources of the enterprise.

Although most of an institution's budget reflects the costs associated with creating and maintaining various kinds of assets (faculty and staff, equipment, physical plant, library and numerous collections, curricula, and such intangible assets as reputation or image), a relatively small portion of the energy that goes into budgeting is directed to decisions about the assets. Instead, attention centers on the financial resources that the institution chooses to invest in these assets on an annual basis. Thus, attention is focused on planned expenditures for faculty salaries rather than on the size and nature of the faculty desired by the institution, on expenditures for library collections rather than on the size and nature of the collection appropriate for the institution, and on the amount of money that can be squeezed out for curriculum development rather than on the philosophy of the institution regarding curriculum review and renewal. By emphasizing the financial resource equivalents of the asset structure in the budget decision-making process, institutional administrators essentially abdicate their responsibility to maintain and enhance the institution's asset base. In accounting terms, they become fixated on the revenue and expenditure statement to the detriment of a concern with the institution's balance sheet, which focuses on its assets and its net worth.

A very subtle consequence of a budgetary process that puts a premium on decisions about the distribution of financial resources is the delegation of many of an institution's strategic decisions to a managerial group that has neither an institutionwide perspective nor an incentive to act in the best interests of the institution as a whole. Deans, directors, and department chairs can and should be expected to pursue the best interests of their respective units. Unit managers have little cause to concern themselves on an ongoing basis with the level of deferred maintenance on the physical plant, with the annual investments made in equipment or library books, or with the ways in which the institution's funds are invested in the recruitment of a particular type of student body. This is especially true when these priorities conflict with investments in faculty and other personnel. It is the responsibility of executive-level administrators to ensure that the assets of the institution are protected and enhanced as necessary. When they fail to explicitly

consider the size and characteristics of the institution's asset structure, the centerpiece of the strategic budget process, they voluntarily cede use of one of the most powerful tools of institutional change to those in no position to use it.

In the accounting sense, assets are defined as "probably future economic benefits obtained or controlled by a particular entity as a result of past transactions or events" (Wainright, 1992, p. 214). In the context of decisions encompassed by the strategic budgeting process, it is useful to consider the following as assets that must be created, maintained, and, over time, shaped to meet the emerging needs of the institution.

Faculty and staff. Human resources are not considered assets in accounting parlance. However, there are very few college administrators who will not admit, even passionately argue, that its people are a college's or university's most important resource. Further, when institutions of higher education hire regular employees of any type, these are investment decisions. Colleges and universities make social, if not legal, contracts with their regular employees and, in most cases, anticipate indefinite periods of appointment. In many institutions, the commitment often extends beyond the individual employee and attaches to the position filled by that individual.

There are groups of employees—those with temporary or adjunct appointments—to whom institutions do not make such long-term commitments. The budget decisions that surround expenditures for such personnel are more akin to decisions regarding purchase of personal services than to decisions regarding hiring of new employees. Decisions to hire employees on regular appointments are essentially investment decisions, whereas decisions to employ temporary staff or adjunct faculty are essentially decisions to conserve services at a particular level. This distinction between *investment* (in human assets) and *consumption* is maintained throughout this chapter.

Facilities. The physical plant owned by an institution is an asset in the classic accounting sense of the term. The decision to construct or to purchase facilities is an investment decision. Rental of facilities obligates an institution to a series of consumption expenditures.

Equipment. Like the physical plant, owned equipment is an institutional asset. The possibility of renting or leasing equipment rather than buying it again presents institutions with fundamental choices between investment and consumption.

Library collections. Library books, too, are institutional assets in at least the narrowest sense of the term. The rapidly escalating costs of books and periodical subscriptions, coupled with the advent of new technologies that allow access to information as an alternative to ownership of documents, will increase the necessity of looking seriously at the consumption versus investment decision.

Student body. Except in rhetorical terms, an institution's student body is seldom considered an asset. However, decisions concerning the clientele to be served are key strategic decisions for an institution, and considerable institutional energy is devoted to enrollment of a student body of a particular size and composition. Further, at many institutions, the investments made in acquiring a student body are exceeded in size only by the investments made in acquiring and retaining the faculty and staff of the institution. The great extent to which budgeting decisions in this area are left to the operational level and are disconnected from planning decisions regarding clientele

made at the strategic level is a particularly curious phenomenon is a period of tightly constrained resources.

Endowments and reserves. Decisions regarding the size of surpluses to be built into the general fund budget, the extent to which resources are to be drawn down to balance the budget, and the size of the contingency reserve to be included as protection against unexpected events are truly strategic budgeting decisions. Decisions about these financial assets represent one of the few areas where institutional administrators have been engaged consistently at the strategic level.

Curricula. Curricula are another area in which institutions make sizable investments without recognizing the results as assets. Investments are not made directly in curricula; rather, they are made in faculty whose time is allocated to the creation of curricula. Failure to recognize curricula as assets has the unfortunate side effect of avoiding recognition that programs, like other assets, deteriorate over time. In the absence of continual attention to renewal, curricula can become institutional liabilities rather than assets.

Image and reputation. These two factors must be included on the list to draw attention to the fact that assets come in intangible, as well as tangible, forms. Further, these intangible assets are increasingly important to an institution. At a time when competition for students is increasing, any action or condition that sullies an institution's reputation or mars its image can be a serious problem. Investments in image and reputation run the gamut from public relations activities to much less visible efforts to ensure institutional actions consistent with role, mission, and educational philosophy.

The above-listed assets represent institutional capacity; the ways in which they are utilized determine educational outcomes and productivity. Institution-level managers must be held responsible for ensuring that capacity appropriate to the institution's mission is created and sustained. In the final analysis, unit managers are responsible for ensuring that these assets are utilized in ways that efficiently and effectively achieve the academic outcomes established as priorities for the institution.

In taking responsibility for the asset structure of an institution, institutional administrators must focus on requirements at two levels: the acquisition or creation of new assets and the maintenance of existing assets. In higher education, it is common practice to devote considerable time and energy to the creation of new assets and pitifully little to the maintenance of old assets. This is in spite of the fact that all assets depreciate and, without conscious attention, gradually lose their value to the institution. Buildings fall into disrepair, equipment and library books become outdated, and curricula are not revised to incorporate and integrate new knowledge. Personnel, too, can gradually lose their ability to be fully contributing members of the institutional community. Thus, wise administrators are concerned with staff development activities and the need for faculty to have time to recharge their intellectual batteries through sabbaticals, scholarly activities, or other mechanisms.

While the concept of asset depreciation is acknowledged by most campus-level administrators, the allocation of resources to counteract the consequences of the passage of time often are assigned low priority. Even in the best of budgetary times, funds for personnel and program development; replacement of equipment, and renovation of the physical plant are seldom allocated in adequate amounts. Neither funders nor institutional administrators receive acclaim

for the unglamorous acts of maintaining the value of the old; recognition attaches to those who create the new.

The decisions associated with creating (or shaping) an institution's assets are more numerous than are typically recognized in any formal sense. In the process of strategic budgeting, the following issues must be addressed:

Quantity of the asset. This is one of the decision areas in which administrators are most practiced. They are comfortable with decisions that focus on full-time equivalent (FTE) faculty, square feet of building, numbers of students, and size of the endowment. They are less likely to be engaged in determining quantities of equipment or of library collections except as those quantities are reflected in their financial equivalents.

Type of asset. Within most of the major categories of assets (financial resources being the obvious exception), there are subcategories representing distinctions that cannot be ignored. It is meaningless to deal with FTEs of personnel without distinguishing faculty from clerical staff or to determine physical plant needs without recognizing differences between laboratories and administrative offices. The ways in which personnel assets are shaped are a particularly important reflection of institutional philosophy and represent key strategic decisions. For example, institutions have the choice of delivering learning assistance services through academic departments (utilizing faculty) or through student services units (utilizing nonfaculty professionals). The choice that is made can affect not only the budget but also the way in which the institution is perceived by students and the image that is created in the external environment.

Quality of the asset. Issues of quantity represent commonplace considerations in the budget process; issues of asset quality are dealt with more by default than by advertence. The default condition tends to be the "highest quality" (as in faculty or student) or "state of the art" (in regard to equipment). Alternatives suggesting that assets be of a quality that is "appropriate" or "the minimum required to effectively serve the purpose" are seldom established as standards in higher education. As distasteful as it may be to accept quality standards expressed in this way, the choice is viable, and perhaps even necessary, for many institutions.

Levels of utilization of the asset. Expectations regarding levels of utilization of some of the primary assets (personnel and physical facilities, for example) are determinations that are central to the strategic budgeting process. When institutional policy regarding faculty teaching loads is established, a major budgetary decision is also made; the policy has a direct bearing on the number of faculty required to meet student demand.

Price of the asset. For many institutional assets, considerations of price are not within the decision domain of the institution. Prices of books, for example, are established by the publisher rather than the purchaser. With regard to some assets, however, institutions can establish price, at least within certain limits. Faculty salaries are dictated by the market only to a certain extent; institutions can choose how competitive they want to be within the range established by market mechanisms.

Method of acquiring the asset. Finally, strategic budget decision making encompasses a set of decisions about whether capacity is to be owned or rented. Capacity can be acquired through investment in an asset. It can also be acquired through purchase of a service (as when services of adjunct faculty are acquired to replace the services of full-time faculty or when access to

information services is acquired as a substitute for the purchase of library resources) or through leasing buildings and equipment. It should also be noted that assets can be acquired through the process of conversion from one type of asset to another. Conversions occur frequently; faculty members become administrators, and classrooms are converted to microcomputer laboratories, for example.

This delineation of a set of institutional assets and of the basic dimensions of this set establishes a decision-making framework for strategic budgeting that is roughly summarized in Table 1. This table indicates several features of budget decision making at the strategic level. First, it recognizes the basic equation of budgeting: Revenues must equal expenditures. On the revenue side of the equation, it should be noted that budget making involves making decisions as well as making estimates. Decisions such as those that lead to intended changes in the revenue profile or to stabilizing the amount of revenue to be received from a particular source constitute a necessary ingredient of budgeting at the strategic level. Likewise, decisions to utilize resources to offset revenue shortfalls—essentially, to use reserves as sources of revenue—are strategic decisions.

Table 1. Decision-Making Framework for Strategic Budgeting

	<i>Expenditures</i>					<i>Revenues</i>
	<i>Quantity</i>	<i>Quality</i>	<i>Utilization</i>	<i>Price</i>	<i>Total Cost</i>	
<i>Assets</i>						Tuition and fees
Faculty and staff						Government appropriation
Faculty						Government grants and contracts
Administrators						Private gifts, grants, and contracts
Support						Endowment income
Facilities						Sales and services
Equipment						Other
Collections						Transfer in (from reserves and so on)
Student body						
Endowments and reserves						
Curricula						
Image						
<i>Consumption</i>						
Faculty and staff						
Faculty						
Administrators						
Support						
Facilities						
Equipment						
Collections						
Curricula						
Supplies						
Utilities						
Other services						

On the expenditure side of the equation, the decisions revolve around not only the mix of assets and consumption items and their characteristics (quantity, quality, price, and so on) but also the trade-offs among these various elements. The price of faculty (their salaries) can be increased if their utilization (work load) can be increased and the quantity thereby reduced. Similarly, the price of faculty may have to be suppressed if it is determined that the number of adjuncts must be reduced so that more freshman courses can be taught by full-time faculty. A layer of

complication is added by interactions across types of assets. For example, it may be possible to reduce the overall long-term investment in faculty by increasing the short-term investment in curricula. By investing in restructuring of the general education core curriculum of the college, it may be possible to alter faculty work loads or the number of faculty required to meet student demand. Similarly, a strategic decision to change the undergraduate curriculum so that lower-division students are confronted with fewer large classes has repercussions not only for the faculty asset but potentially for facilities and library collection assets as well.

Implications of Strategic Budgeting

Adoption of the basic concept of strategic budgeting has significant implications for both the decision makers and the analysts involved in the budget-building process. The implications are perhaps greatest for those administrators with institutionwide responsibilities. Their role in the budget process becomes proactive, their basic decisions come early in the budget process, and they will be faced with decisions that cannot help but be unpopular in some instances.

The scope of the early decisions can be seen by referring again to Table 1 and recognizing that it outlines the basic contents of the guidelines to be distributed to, and utilized by, unit managers as they build their budgets. This process requires institutional managers to go well beyond their typical steps of reporting revenue estimates and establishing the levels of price increases that will be tolerated in the requests forwarded by the unit heads. Adherence to the concept of strategic budgeting requires institutional administrators, as the individuals responsible for preserving the institution's assets, to declare the level of funding to be set aside for this purpose. In essence, the process is initiated by determining the amounts that will "come off the top" for such purposes as the purchase of equipment and library books and for the renewal and renovation of the physical plant. These allocations, therefore, are less likely to be treated as the sum of whatever remains after unit priorities are established. In addition, the process proscribes the degree of freedom allowed unit managers in making unit-level decisions that have institutionwide implications. The most critical of institution-level decisions involve the leeway allowed unit managers in making decisions about faculty: to unilaterally establish work load policies and, a more commonly encountered practice, to freely determine the substitution of part-time for full-time faculty. It should be noted that these guidelines do not serve as determinants for individual units; however, they do serve to constrain (or, in some cases, expand) the pool of resources for which units compete.

If logically extended, adoption of the concept of strategic budgeting serves to open the gates for discussion of topics that often are avoided, either knowingly or unknowingly, and to reclaim for institutional administrators a role in decisions that are frequently assumed to lie exclusively in the domain of unit administrators. Perhaps the best example of the point is found, again, in the role of institutional administrators in shaping the faculty asset. It is not uncommon to find situations in which the responsibilities of institutional administrators are deemed to end when positions are allocated and prices established. Decisions about the quality or qualities of the individuals hired to fill those positions are frequently left to the unit heads. In the absence of clear understandings between institutional and unit administrators as to sought-after characteristics, this bifurcation of decision-making authority can very easily lead to conditions in which qualities of the faculty employed serve to impede rather than promote achievement of the institutional mission. The classic example is the hiring by teaching institutions of faculty who have research activities as their primary professional interests. There are many other such

examples in which the nature of institutional assets is inconsistent with institutional mission and culture.

Implementation of strategic budgeting affects unit heads as well as institutional heads. For deans, directors, and department heads, however, the nature of the effects can be quite varied. On the one hand, when institutional administrators assume explicit responsibility for the maintenance of assets, it is likely that the pool of resources set aside for purchasing books and equipment will be larger than would otherwise be the case. Unit managers typically prefer to relegate such purchases to a lower priority rather than confront strictures in other areas. The down side is that presentation of a more complete set of budget guidelines removes some decision-making latitude from the domain of unit managers. As noted previously, strategic budgeting does not determine allocation of resources to individual units. That decision is ultimately made through processes that originate at the unit level and work their way up. However, strategic budgeting goes further than is typically the case in specifying the size of the various resource pools for which unit heads eventually compete. In many ways, it could make the job of the unit managers more difficult. In some instances, standard responses to budget balancing—forgoing equipment and purchases and substituting part-time faculty for full-time faculty—could be precluded. More emphasis would likely be placed on issues of faculty quality and work load and of curriculum changes, all topics that most deans and department chairs would just as soon avoid.

Finally, the type of approach to budgeting described in this chapter can have a significant impact on the kinds of analyses done in support of the budget process. Relatively less attention is devoted to compiling information on asset prices, and relatively more energy is devoted to analyses of asset quality and utilization. In addition, the range of assets explicitly considered during the budget process is expanded. As a consequence, analyses that support decisions on the investments required to create or maintain assets such as collections, the student body, and curricula are required on a regular, though not necessarily annual, basis.

Summary

In this chapter, I have suggested the necessity of developing an approach to budgeting that encompasses a set of strategic as well as operational decisions. I have argued that strategic decisions focus on the creation and maintenance of institutional capacity, whereas operational decisions focus on the utilization of that capacity in ways designed to accomplish specified purposes. As a consequence, strategic budgeting must emphasize institutional assets and the steps that can be taken to move toward an asset profile appropriate to the institution.

Such an approach to budgeting places greater responsibilities on institutional-level administrators and forces them to be proactive rather than reactive in the resource allocation process. These steps lead to an altered distribution of decision-making authority, requiring changes in behavior by all engaged in the resource allocation. Such steps are necessary if linkages between budgeting and strategic planning are to be forged.

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