STRATEGIC PLANNING OUTCOMES

AT FOUR-YEAR PRIVATE COLLEGES AND UNIVERSITIES

by

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(ABSTRACT)

The growing body of knowledge about the use of strategic planning in higher education focuses on the decisional processes and dynamics of such planning as conducted in an academic setting. Information about the outcomes of strategic planning initiatives, or the ways in which institutions change in relation to plan goals, has received little attention by researchers.

This qualitative study combined descriptive and case study methodologies to investigate what results occurred to meet strategic planning objectives at five small, four-year, private colleges and universities as measured by financial, enrollment, and programmatic indices. The case study method permitted an in-depth analysis of the relationship between individual institutional plans and their respective outcomes. The population consisted of thirty-two institutions awarded planning grants by the Consortium for the Advancement of Private Higher Education (CAPHE) between 1984-88. A purposive sample of five institutions was drawn from those institutions identified as having developed strategic plans by the end of the grant cycle. Evidence was gathered using IPEDS and CAPHE survey data, document analysis, and interviews. Data were analyzed using basic statistical procedures and qualitative methods. Further, data were standardized by means of common categories and reporting formats for the purposes of cross-site analysis.

The findings indicated that strategic planning contributed to changes at small, private institutions, over the long-term, although not always to the extent intended. Improvements in enrollment, physical plant, and in the areas specified in plan documents were evident, while changes in financial condition were mixed. Emergent strategies were formulated and implemented which contributed to the observed results.

The level of implementation varied and several factors appeared to exert influence over the observed outcomes, the major one being presidential leadership. The link between the budget and strategic priorities was minimal, and broadly inclusive participation, while beneficial in several ways, did not appear essential to achieving plan goals at all institutions.

Findings should be of interest to institutions seeking information about the long-term outcomes of planning initiatives and factors which may affect those outcomes, and to organizations that fund such efforts. Additionally, the study contributed to an area of planning theory not usually investigated, and established a methodological framework for such analysis.

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CHAPTER I
INTRODUCTION

Throughout the past two decades, academic institutions have increasingly sought to respond to the demands of changing environmental conditions by turning to various methods of planning. The concept of strategic planning, borrowed from the business community, became popular in education during the 1980s as a means of addressing growing demographic, economic, and social pressures (Chaffee, 1985; Schmidtlein & Milton, 1989). As the external realities began affecting institutions and their enrollment and fiscal needs, small, tuition-dependent colleges were believed the most vulnerable to these pressures (Baldridge & Tierney, 1980; Cameron, 1984; Moskin, 1989).

Planning is perceived as a vehicle for change, the assumption being that an institution will be strengthened, or achieve organizational success, as a result of the planning initiative. Strategic planning is a specific method of planning in which strategies are formulated and implemented in consideration of the organization's environmental context, enabling the institution to acquire sufficient resources and attain its goals. Strategies may be deliberate or emergent in character, both contributing to the outcomes of the process. The strategic concept presumes an ongoing, substantive, and purposeful movement of an organization (Buhler-Miko, 1985; Chaffee, 1985; Cope, 1987; Mintzberg, 1994a; Peterson, 1980).

The concept of strategic planning emerged in the business community during the 1960s. Its popularity grew rapidly as companies used this new management tool to achieve comparative advantage, and by the early 1980s educators began to embrace this style of planning. In 1978, Cyert advocated a new approach to university planning, suggesting strategic planning as a way for institutions to cope effectively with constant or diminishing resources. Peterson (1980) discussed the application of organizational theory to planning and outlined a variety of planning models available to academic institution. Cope (1981) conducted much of the early work adapting

business planning theory to higher education, defining a conceptual framework for its use and refining the concept, process, techniques, and models (1987). Kotler and Murphy (1981) extolled the use of strategic planning as a potent tool with which to modify institutions in response to environmental changes. Baldridge and Okimi (1982) added to the discussion, differentiating strategic planning from traditional long-range planning. In 1983, Cameron argued that environmental conditions required a new set of organizational responses and advocated the use of adaptive strategies.

It was Keller, however, who brought the concept of strategic planning to the attention of education practitioners in his widely-read book Academic Strategy (1983). Chaffee's case study analyses and review of literature (1984, 1985) led to the identification of three distinct strategy models, linear, adaptive, and interpretive, which have been the subject of subsequent studies. Hearn and Heydinger (1985) argued the necessity of scanning the external environment, and numerous researchers and planners have discussed various scanning techniques (Morrison, Renfro, & Boucher, 1983). Presidents gave anecdotal accounts of how their institutions used strategic planning to survive (Steeples, 1986, 1988), and academic administrators offered practical guidelines on how to manage change (Hipps, 1982; Steeples, 1990; Schmidtlein & Milton, 1990). By the late 1980s the application of strategic planning had burgeoned in the educational community, the conceptual theory being that such planning leads to change resulting in organizational success.

Cameron (1983) states that strategic planning most often occurs during times of institutional decline and is an institutional response to existing, or anticipated, conditions requiring the need for substantive organizational change. Planning, then, is often driven by the tension between institutional needs and resource constraints (Steeples, 1988). Thus, an expectation of change is imbedded in the planning initiative, with the implementation of a plan presumed to lead to the desired results. However, there is little evidence in the literature to support this assumption. A variety of individual case studies claim, but fail to document adequately, that planning efforts wane as they approach the development of operational plans and the

implementation stage. These accounts suggest that not only the outcomes, but the durability, of planning is questionable.

While there is a growing body of knowledge about the use of strategic planning in higher education, the literature remains mostly conceptual and prescriptive rather than empirically-based. Further, most empirical research conducted to date has concentrated on the decisional processes and organizational behavior components of planning theory, not on planning outcomes (Chaffee, 1985; Cope, 1987; Hearn, 1988).

Only recently have a few researchers begun to assess specific results of planning initiatives. In the site-visit phase of a nation-wide study conducted on behalf of the National Center for Postsecondary Governance and Finance, Schmidtlein and Milton (1989) found that of those surveyed, "few could enumerate specific outcomes or substantive benefits of the process conducted at their campuses" (p. 7). Respondents did, however, indicate that there were process benefits associated with planning activities.

Prinvale (1992) found in a survey of 551 private institutions that respondents perceived a low level of goal-attainment. Further, an analysis of fiscal measures (consisting of quantitative ratios testing financial strength, financial independence, tuition dependence, and liquidity) showed no predictive relationship between strategic planning and a change in financial condition. However, the author acknowledged two serious limitations of the study: (a) fiscal condition is not the only measure on which institutional success is based, suggesting that additional planning goals should be measured; and (b) the time span within which changes in financial condition were measured (one to three years following the onset of planning) may have been insufficient, thus affecting research results.

In a survey of 75 research and doctorate-granting institutions, Ingle (1991) investigated the relationship between Chaffee's planning topologies and institutional success as measured by four of Cameron's dimensions of organizational effectiveness. Although the findings identified a connection between planning strategy and

effectiveness, the study used subjective data reflecting senior administrators' perceptions about the effectiveness of the various planning strategies.

Two other recent studies used case study methodology to assess the outcomes of strategic planning. Clugston (1987) investigated the nature of planning and its effect on departmental budgets at a single, large, research university. Findings indicated that departmental budgets did change, by design, but that the assessment of environmental factors had only a moderate influence on the changes made. In a multiple-case study of three, small, private institutions, Hightower (1992) found that planning outcomes were linked to the original purposes for which strategic planning was implemented. However, most outcomes were defined in terms of activities conducted, the magnitude and focus of decision-making, and the extent to which campus leaders were perceived as moving the institution forward.

Although these studies contribute to our understanding about planning outcomes, current research continues to offer only limited insight into the degree to which strategic planning initiatives produce measurable outcomes and result in stronger, more effective institutions. This paucity of information about tangible outcomes, coupled with the considerable time and energy accorded the planning process, logically raises concerns about the worth of planning initiatives.

Statement of the Problem

Although strategic planning is often characterized as proactive it is, nonetheless, an institutional response to existing or anticipated pressures. Whether internally driven or externally mandated, planning initiatives are generally intended to address the need for change or to strengthen the organization (Cameron, 1983; Peterson, 1980). However, the extent to which planning actually leads to institutional change is not well-documented. As already noted, much of the literature about the application of strategic planning in higher education centers on the principles, processes, and perceived benefits of such planning, not on its substantive outcomes. Further, the data used to assess outcomes are often derived from surveys or

interviews recording the perceptions of campus leaders rather than from multiple objective and quantitative measures.

Based on the literature, there appeared to be a significant need for an in-depth exploration of intended outcomes using objective measures, over an extended period of time, of strategic planning initiatives. This study sought to determine what results occurred at small, four-year, private institutions to meet specified strategic planning objectives, as well as what unspecified results emerged; and to examine the relationship between institutional outcomes and deliberate planning strategies.

Purpose of the Study

The purpose of this study, was to identify what, if any, institutional changes occurred, as indicated by enrollment patterns, financial condition (as measured by revenues, expenditures, and endowment indices), and programmatic changes (in the areas of academic affairs, student services, and external outreach); and how those changes related to the objectives and strategies specified in the plan document. In this context, the process of planning and the implementation of the plan were factors which may or may not have influenced results, but were not the primary focus of the study. There were two additional outcomes of this study. First, it contributed to an area of planning research that is usually not investigated. Second, through a multiple-case study, it established a methodological framework for objectively measuring and triangulating the results of the planning effort.

Research Questions

The study was guided by the following research questions:

(1) Over the long-term (four to eight years), was there evidence to demonstrate whether or not changes occurred in financial condition, enrollment, academic programs, student services, or external outreach activities; and/or in other areas as identified in the formal strategic plan of each institution?

(2) What was the relationship between the resulting outcomes and the formulated goals and strategies?

(3) Were outcomes of "emergent" strategies observed which, when combined with those of the deliberate process, constituted the overall observed results?

Significance of the Study

There are significant costs associated with any planning initiative. An institution makes a considerable investment of time, energy, and the commitment of human and financial resources with the expectation of changing and strengthening the institution in one, or more, ways. This study seeks to take the first step in this analysis by demonstrating whether substantive changes do, in fact, occur as intended, and whether there are also unintended, or unanticipated, benefits that result from emergent-type strategies.

Further, the very process of strategic planning, as well as its presumed outcomes, affects the institution's stakeholders--students, faculty, staff, and alumni. As confirmed by Schmidtlein and Milton, the lack of demonstratable results can create cynicism about planning goals and can cause resistance to the implementation of strategies or the undertaking of future change initiatives (1989). Thus, for institutions about to begin such a process, and for the organizations which fund such initiatives, it is important to understand what outcomes are actually realized and the extent to which planning objectives are achieved.

Because the adaptation of strategic planning to education is still evolving, little attention has been given the latter stages of the planning cycle - implementation, ongoing strategy formulation, and planning outcomes. This exploratory and descriptive study was designed to investigate the outcomes of externally-funded strategic planning initiatives conducted at small, private institutions characterized as tuition-driven and whose primary mission is undergraduate teaching. It provides data to demonstrate whether or not institutions change in ways consistent with the goals of

their strategic plan. Thus, the study addresses a void in the literature related to the applications and value of strategic planning.

Definition of Terms

For the purposes of this study, significant terms were defined as follows:

Deliberate strategy Actions intentionally taken to meet specified plan goals.

Emergent strategy A pattern of actions taken, but not originally specified, which evolved in response to ongoing changes in internal and external conditions affecting the institution.

Institutional success The results achieved in an institution's effort (a) to attain its goals, as measured by enrollment patterns, financial and human resources, programs, and other specified criteria; (b) to acquire the resources necessary to pursue its objectives; and thus, (c) to serve its constituents effectively.

Outcomes The results of all possible actions taken by the institution as measured by indices relevant to stated planning goals.

Outcomes assessment A method of determining the effect of an institution and its programs as measured by multiple performance indicators.

Strategic plan A formal, prescribed agenda of institution-wide goals and objectives, developed in consideration of the changing external environment, intended to guide future actions and achieve desired outcomes.

Strategic planning A process simultaneously internally and externally focused, through which strategies were formulated to enable the organization to achieve institutional success.

Strategy A clearly identifiable direction of movement which gives an organization comparative advantage in its relevant changing environment.

Assumptions

It was assumed that strategic planning was undertaken with an expectation of institutional change. It was further assumed that change was intended to result in a

strengthening of the institution to include financial condition, enrollment growth, and other organization-specified criteria.

Delimitations of the Study

This study was delimited in the following manner:

1. The study focused on small, private, liberal arts colleges that were recipients of planning grants from the Consortium for the Advancement of Private Higher Education (CAPHE).
2. The study was focused upon self-initiated, controlled planning efforts.
3. The study used planning strategies as one variable. The nature of this construct was intended to connote that both deliberate, intended strategies and emergent strategies were acceptable for inclusion in the study.
4. Planning outcomes were measured quantitatively and qualitatively and an attempt made to link the results with institutional success.

Limitations of the Study

The generalizations of the findings presented in this study may be subject to the following limitations:

1. The small number of case studies may limit generalizability.
2. The population for this study was restricted to small, private, four-year colleges and universities which were awarded planning grants. The criteria used to select the recipient institutions may have contributed to planning outcomes, thereby affecting the generalizability of the findings.
3. Any data obtained through interviews may have been influenced by the attitudes, perceptions, and experiences of the respondents and the reviewer.
4. There was variation in the interest and willingness of members of the

sample institutions to cooperate and in the amount and types of records and resources made available.

5. It was recognized that unobserved events and conditions may have occurred which affected outcomes of the planning initiative.
6. It was not possible to triangulate all findings for some of the strategic initiatives in every instance, due to a lack of data from multiple sources.
7. The cross-site findings were limited by the availability of comparable data formats among all institutions.

CHAPTER II
REVIEW OF THE LITERATURE

This chapter will focus on the literature related to five areas: the origins and evolution of strategic planning; the conceptual framework, principles, and processes of strategic planning; the organizational context within which planning occurs and relevant theoretical foundations; institutional effectiveness; and the practice of strategic planning in higher eduction to include factors affecting the process and results of planning, and the reported outcomes of planning.

Origins and Evolution of Strategic Planning in Higher Education

The genesis of strategy dates back to ancient Chinese geopolitical-military theory and owes its linguistic origins to the Greek words meaning a general's ability to lead an army. In its military context, the concept connoted a plan of advance, modifiable in action, that effectively incorporated geographic positioning, organizational structure, use of resources, and people's attitudes (Chaffee, 1985; Cope, 1981, 1987; Keller, 1983).

The use of strategy in corporate decision making became prevalent during post-World War II economic expansion. Rapid industrial growth required executives to embrace planning tools responsive to these new conditions (Rieger, 1994). Management analysts such as Chandler (1962) and Ansoff (1965) introduced such new techniques to business, launching a new planning paradigm. Chandler, in his studies of organizational innovation, found that strategic growth occurred when business recognized the opportunities created by a changing environment and the need to employ resources more profitably The choice of strategy to meet increased demand determined, or shaped, organizational growth. Ansoff prescribed a practical, systematic, and analytical approach for how business should use planning to adapt to its environment. Chandler's work was significant because it introduced a new perspective on the relationship of a firm with its environment. Ansoff added the

precept that a formal, structured, and systematic process was the best means by which a business should make decisions about its future.

The 1970s saw more mature and sophisticated versions of the management science tools introduced in the 1960s with an emphasis on quantitative models and information-based decision making (Norris & Poulton, 1991). Steiner's extensive work in the field helped popularize corporate strategic planning and led to even more complex, elaborate models (Mintzberg, 1994). (See Bryson, 1989, for an excellent summary of the major models.) The underlying premise remained, however, development of the best fit between an organization and its environment, as subsequently defined by a business strategy.

The 1980s marked a period of transition for strategic planning. Practitioners were becoming skeptical about the effectiveness, and hence usefulness, of strategic planning bringing it under increasing scrutiny. Poor results and the recessionary economy of the 1980s weakened its credibility (Rieger, 1994). Corporate America was finding it difficult to use such an approach, developed during a period of enormous growth, as it moved into an era of decline. An analysis conducted by Business Week found the plans of many companies to be largely unsuccessful ("The New Breed," 1984). The process of strategy-making did not work well during periods of restructuring, in part because the emphasis on process did not promote the company-wide strategic thinking necessary to compete in less favorable economic times (Porter, 1987).

As the use of corporate strategic planning expanded, so too did analyses of its effectiveness. In 1982, Ansoff, Bosman, and Storm signaled the need to consider the internal dynamics of an organization, citing previous models as too rational and idealistic in their approach to corporate decision making. Ansoff later identified factors such as political and psychological resistance within the organization and the lack of suitable implementation as problems to be addressed when attempting to effect change (1984). (See Ansoff, 1979; Chaffee, 1985; Cope, 1981; Mintzberg, 1994;

and Norris & Poulton, 1991; for information about the multi-disciplinary origins and theoretical bases of strategic planning.)

By the mid-1980s the business community began to move away from strategic planning as formerly conceived. Economic forecasting was expanded to include consideration of socio-political forces and the impact of technology. Planning became more decentralized and emphasized the involvement of mid-level managers to expand ownership and reduce resistance to implementation. Corporate leaders stressed the creative thinking aspects of strategic planning rather than the bureaucratic process into which it had devolved (Ansoff, 1979, 1984; "The New Breed," 1984). Michael Porter, in his 1980 work, added competitive analysis to the strategic planning formula, arguing that firms must assess not only the economic forces that shape an industry but the behavior and market position of their competitors as well (Bryson, 1989). Yet the shift was, and remains, partial at best according to Mintzberg who lamented the abundance of literature about process to the exclusion of focus on strategy formulation and content (1994).

Many scholars and practitioners began to advocate strategic management and organization-wide strategic thinking. Planning was still important, but was only one element within a larger range of activities to design and implement corporate strategy. Mintzberg critically assessed the rise and subsequent fall of strategic planning citing its inflexibility, emphasis on process, and lack of results as contributing to the decline in its use (1994b). Noting that too much was expected of it, he maintained the conventional model was misapplied because planning can only assist, but never produce, strategy. In the end, his pessimism and well-researched analysis gave way to a wary endorsement of strategic planning as one of several approaches suggesting it useful when applied in appropriate contexts using a looser process. More importantly, Mintzberg argued, organizations should focus attention on strategic decision-making, an approach which requires considerable synthesis, judgement, and decisive action.

The use of strategic planning in the business community may not be dead but, as Mintzberg (1994) and Porter (1987) suggested, may simply need to be recast. Nonetheless, throughout its history the basic premise of strategic planning remains the inseparability of an organization and its environment (Chaffee, 1985; Hatten, 1982). The nature of that symbiotic relationship and the extent to which an organization can shape its future remains a subject of much debate.

Adaptation of the Business Model

As strategic planning was falling out of favor in the business community, it began its rise to popularity in higher education circles. Yet here, too, it was rooted in earlier times. Like business, the 1950s and 1960s were an era of growth and expansion for higher education. Planning during this period centered on burgeoning undergraduate student populations and tremendous growth in graduate programs and industrial research. As institutions grew in complexity, they increasingly borrowed and applied management science techniques. The institutional research function, fueled by the development of quantitative techniques and increased capability for storing and manipulating information, aided the long-range planning process intended to guide the orderly development of programs and facilities management. Yet the planning models used were internally focused and based on bureaucratic notions about how organizations functioned (Cope, 1981; Heydinger, 1983; Norris & Poulton, 1991; Schmidtlein & Milton, 1989).

During the mid-1970s growing internal and external pressures signaled the need for change in higher education. Historically, colleges and universities were, in many ways, isolated from the reality and demands of the external environment. In addition, the unprecedented pattern of growth since 1945 had created an attitude of invulnerability and a resistance to the proposed concepts of change and innovation (Kashner, 1990). Yet, by the late 1970s the academic community began to feel the effects of the recession and changing demographics, and slowly colleges and universities recognized that the external environment was bringing itself to bear full

force on higher education. Demographic changes, financial constraints, increased external controls, public demands for accountability, new technology, changing societal values, and diminished government funding were all factors increasingly affecting the management and operation of academic institutions (Rieger, 1994; Schmidtlein & Milton, 1989; Tan, 1990).

In 1975, Martorana and Kuhns called for a systematic approach to manage such change effectively. They accurately foresaw that consumers of education would gain increasing power over the producers of education, and they challenged institutions to be proactive rather than reactive. For the first time, higher education was facing contraction. Existing planning methods were no longer sufficient to deal with this rapidly changing and increasingly unfavorable environment.

As colleges entered the 1980s, new planning models emerged to deal with the difficult decade ahead. As declining numbers of high school graduates brought the advent of marketing to higher education, the slowed growth and fiscal stresses of the 1970s, coupled with the uncertain enrollments and fiscal outlook of the 1980s, eventually caused colleges and universities to embrace strategic planning. However, contrary to the business community, strategic planning in higher education was driven by the potential contraction, not the growth, of these organizations (Martorana & Kuhns, 1975; Morrison & Mecca, 1989).

Although Keller (1983) is often credited with popularizing strategic planning for higher education, others began calling for its application some years before. Throughout the 1970s, citing the problems facing higher education, articles about strategic planning, or its key elements, began to appear more frequently in the education literature. Academic leaders, cognizant of the external forces impinging on higher education, advocated taking a longer, more comprehensive view.

Several important works influenced this fledgling interest in strategic planning. In 1978, Cyert reasoned that the use of strategic planning during times of contraction served as a means for determining a new mix of services while allowing an institution to attain a position of equilibrium. Yet, Cyert acknowledged the difficulties of using

this approach within the university setting where contraction seems antithetical to achieving, or maintaining, excellence. In the years immediately thereafter, strategic planning gained significant theoretical ground in educational circles. Peterson (1980), in a comprehensive discussion about the use of planning in higher education outlined various conceptual models, gave priority to strategic planning. Cope also offered a conceptual view of strategic planning and its application to higher education stressing the contextual nature of such planning (1981). Cope placed heavy emphasis on the significant influence external forces can bring to bear on an organization and thus the importance of being sensitive to the external environment. In 1982, Baldridge and Okimi claimed the long range planning model was no longer useful and recommended strategic planning as an appropriate alternative noting its ability to reorient the manager's attention to a new set of issues. In studies investigating the dynamics of organizational change at academic institutions, Baldridge and Deal also expressed optimism about the viability of strategic planning (1983).

The work of Cyert, Cope, Peterson, and Baldridge contributed significantly to the growing interest in, and adoption of, strategic planning in higher education. Yet others were also influencing its development and acceptance. Some reasoned strategic planning would not only help institutions survive but offered the best chance of preserving the quality and integrity of higher education (Mingle & Associates, 1981). Hatten (1982), acknowledging the difficulties of applying the principles as developed in the business literature to non-profits, maintained that strategic management can help improve performance and enhance the quality of non-profit management.

As more was written about the application of strategic planning to higher education, more issues surfaced that would cause the model to be differentiated from its business counterpart. Higher education had begun adapting the corporate model to fit its unique needs. Acknowledging a persistent problem, Orwig and Caruthers (1980) claimed the integration of planning and budgeting activities was essential if plans were to become operationalized. Baldridge and Tierney (1980) also advocated the link between planning and budgeting as a means of increasing its impact. Cope

noted the addition of "political feasibility" as an element of consideration in higher education's adoption of strategic planning and encouraged a more qualitative approach given the unique nature of colleges and universities (1981).

Concurrently, organization theorists were examining issues relevant to the strategic planning movement. Planned change proponents such as Winstead (1982a) and Hipps (1982) found various strategic planning concepts, such as use of a systematic process, to be key elements in planned change. Shipper and White (1983) addressed the importance of linking organizational effectiveness with environmental changes. Miller (1980), working to develop useful measures for organizational quality, asserted there was an integral relationship between planning and the attainment of quality and organizational effectiveness. Cameron's research (1978) identified nine dimensions of effectiveness for assessing organizational performance. Later, Cameron found empirical evidence showing that strategies responsive to the external environment were more likely to lead to effective institutional adaptation, and identified strategic planning as one of four approaches needed in order for colleges and universities to survive and prosper (1983, 1984). Such efforts to define appropriate measures of organizational effectiveness were developing simultaneously with new approaches to organizational planning.

Increasingly, strategic planning came to be viewed as a catalyst for organizational change, a means of establishing measurable organizational objectives, and a proactive way to deal with the impact of the external environment on the futures of these institutions.

Just as the late 1970s marked the beginning of serious inquiry into the applicability of strategic planning to higher education, 1983 marked the advent of its acceptability by practitioners. Keller (1983), in a pivotal work titled Academic Strategy, asserted that the use of strategic planning by educational institutions was critical to their survival. Outlining the environmental changes and management problems facing higher education, Keller claimed fiscal and enrollment pressures would compel institutions to reinvent themselves in radical ways. Keller provided a

conceptual framework for academic strategic planning, emphasizing the interplay between institutional purpose and the external environment. The publication of this, what some call seminal, work played a fundamental role in shifting the attention of the academic to strategic planning. Many other writers and scholars would apply, refine, and amend the techniques of strategic planning but it was Keller's work that heralded a new planning movement for higher education.

By the mid-1980s the move toward strategic planning in academia was in full swing as colleges and universities placed an increased emphasis on the institution-environment interface. Numerous articles appeared outlining ways to apply the concepts and techniques of the business model to higher education (Lelong & Shirley, 1984; Shirley, 1983; Toll, 1982) Practical "how-to" guides began to appear and training workshops became more abundant (AACSU, 1988; Buhler-Miko, 1985; Kotler & Fox, 1985). Foundations began offering funding to support institutional planning efforts. Opinion papers, testimonials, and case studies attesting to the effectiveness of strategic planning proliferated and numerous authors identified the benefits and pitfalls of strategic planning (Alexander, 1982; Davis, 1985; Shirley, 1987, 1988; Stafford, 1993; Steeples, 1986, 1988, 1990; Tan, 1990).

Some scholars began conducting empirical research. Among the most important was that done by Chaffee (1984, 1985, 1989). In 1984, Chaffee published the first of numerous studies investigating the concept of strategy, its differing topologies, and their relationship to institutional effectiveness. In an examination of financially distressed institutions, Chaffee found evidence that when attention was given to organizational mission, values, culture, along with sensitivity to the environment, colleges experienced a faster recovery than institutions focused only on the environment. Strategy, by its very nature, assumes an organization is inseparable from its environment and it is with the use of strategies that institutions deal with changing environments. Chaffee's work resulted in a hierarchical model of strategy topologies (linear, adaptive, and interpretive) and evidence that a combination of the adaptive (environmentally responsive) and the interpretive (cultural and symbolic

orientation) approaches were most effective in revitalizing an institution. In further case study research, Chaffee and Tierney found that an organization needs congruence between its structure, environment, and values in order to improve and change (1988).

Chaffee's work gave academic legitimacy to the concept of strategic planning. Further, her extensive research and analysis, over a period of years, helped adapt the concept to the unique context of higher education. While drawing on the literature and experience of business, she both identified differences in higher education and theorized adaptations of the model appropriate to both communities.

Echoing Cope's earlier observation (1981), Chaffee noted the lack of empirical evidence demonstrating how the use of strategy by academic institutions related to organizational success (1985). Further, because of the heavier use of case studies rather than statistical studies, there was a smaller sample size on which to evaluate theories about the use of strategic planning in higher education.

Several scholars focused on the particular challenges facing small colleges during the 1980s and suggested strategic planning was more appropriate for these institutions than for large universities. Jellema (1986) found that smaller institutions were most successful at revitalizing themselves, effecting bold, radical changes. Jonson (1984) indicated that small colleges were more vulnerable than larger institutions to external pressures and must necessarily shape institutional strategies in light of external factors. Chaffee's research also found that strategic management had been successful at the small, private colleges (1984).

Research in organizational theory continued to contribute to the adaptation of strategic planning to higher education, as the focus shifted to the influence of culture on strategy formation and organization effectiveness (Cameron & Ettington, 1988; Schreiber, 1983). Educational planners echoed these sentiments. Meisinger (1989) and Kashner (1990) acknowledged the role of politics, traditions, and organizational culture in the planning process. Schmidtlein and Milton observed that organization behavior reflected a mixture of political, structural, environmental, and psychological

dynamics, far more complex than the bureaucratic model (1989). A number of cases appeared in literature in the late 1980s and early 1990s demonstrating how planning was used to solve problems, revitalize an institution, and undertake new initiatives. All suggested, however, that each situation was unique and contextually-bound (Dooris & Lozier, 1990; Dunn, 1990; Farmer, 1990; Foote, 1991; Green, 1990; Schmidtlein, 1990). Consideration of institutional mission and values, governance structure, and political realities all signaled the evolution of a process increasingly focused on the internal, as well as external, context in which planning occurred.

In spite of considerable enthusiasm for strategic planning, there were numerous critics, and scholars remained skeptical of the widely-touted benefits of strategic planning. Hearn described the concept as more prescriptive than analytical, more conceptual than empirical with too much emphasis on process and too little on the interplay between strategic choices and the workings of the institution (1988). Dill (1993) concluded that planning had been largely symbolic, and Donnithorne (1991-92) identified the disparity between value-laden goals and quantitative resource allocations as a major problem. Keller remained an advocate of strategic planning, if not a wary one, but acknowledged the difficulties of using such an approach (1994). Others shared his caution, asserting that strategic planning need not be abandoned but must be revamped to be relevant (Porter, 1987; Mintzberg, 1994).

Thus a movement begun in business, founded by Ansoff and Chandler and popularized by Steiner and Mintzberg, was gradually adopted by the academic community. A small group of theorists--Peterson, Cope, and Chaffee--pioneered the theoretical and empirical scholarship on strategy and strategic planning and its application to higher education (Hearn, 1988). As conceived and practiced by business, strategic planning emphasized economic opportunity; as adapted by education, it first served as a tool for retrenchment and later for purposeful change in programs and operations.

Concept and Process of Strategic Planning

The evolution of strategic planning in higher education resulted in a hybrid of different business and academic planning models combining the theories of organization, leadership, and change. The discussion about strategic planning draws from the business as well as higher education literature in order to permit a fuller view of the concept, with differences identified as appropriate for the context of this study. The conceptual underpinnings of strategic planning, characteristics unique to this method of planning, and the ways in which it differs from other planning tools are addressed.

Change

Inherent in the concept of strategic planning is the expectation of change. Yet the concept of change is, itself, subject to multiple definitions. Although often used interchangeably, scholars distinguish between the terms adaptation and change. Adaptation implies variation or modification while retaining the essential characteristics of the organization; change refers to more fundamental adjustments transforming an organization in significant ways from its existing state (Cameron, 1984). Simsek and Louis described change as both evolutionary and revolutionary (1994). The concept of organizational change is addressed more fully later in the chapter.

Planning is one vehicle by which institutional change is achieved. Strategic planning focuses on what is called adaptive change; change that is motivated by the external environment. Such change reflects institutional responses to environmental pressures, both internal and external. Simsek and Heydinger (1993) claimed that forces external to education have been the driving force behind nearly all significant change in higher education.

Mintzberg, however, argued that an institution does not change, but moves continually in a direction. Strategy can define that direction of movement (1994a).

Strategy

The term strategy is an abstract concept, subject to multiple definitions and often used as a modifier of other terms. Ansoff defined strategy as a set of decision making rules for guiding organizational behavior. Strategy is the means to the ends, and objectives represent the ends the organization seeks to attain (1984). Keller (1983) defined strategy as agreeing on aims and having a plan to arrive at a destination through the effective use of resources. Bloomfield, expanding on the importance of resources, stated that imbedded in the notion of change is the shifting of institutional priorities, usually reflected in a reallocation of resources (1993).

Strategy has also been defined as a changing pattern of an organization's business--its social purposes, its sense of mission, its goals and objectives, and the implementation policies needed to achieve its selective ends (Unterman & Davis, 1984).

Mintzberg (1994b) identified five possible definitions for strategy: (a) a plan, (b) a pattern of behavior, (c) a position, (d) a perspective, or (e) a ploy. As a plan, strategy is a direction or guide. As a pattern of behavior it can either be intended, a plan developed for the future, or an unintended pattern which evolves over time. Because the latter implies that strategies can form without being formulated, strategic planning is not necessarily synonymous with strategy formation. Mintzberg believed the literature favors the concept of strategy as a plan over strategy as a pattern of behavior.

Hatten (1982) noted that all organizations have strategies, either formally expressed or unexpressed, but which are apparent by observation of the organization's actions and decision patterns. Mintzberg expanded on this view in his discussion of intended or deliberate strategies, some of which are realized and some not, and emergent strategies which, although not intentional, reflect a pattern of organizational behavior (1994b).

On a more practical level, strategy refers to the blueprint of the plan: a direction of movement achieved through a sequence of actions which will achieve the

goals an organization has selected. Because the term devolves from the Greek word meaning to defeat one's enemies through the effective use of resources, it implies concepts of organizational success, competitors, competitive advantage, and resource acquisition and allocation (Adler & Lane, 1988). Cope posited that an effective strategy deals with the interplay of three entities--the institution, its competitors, and various stakeholders. As such, it affects the whole institution, is multi-functional, and redefines the relationship of the institution with its environment (1985, 1986).

Thus, an underlying premise is the inseparability of an organization and its environment. Organizations use strategy to deal with the changing environment and to provide direction, or congruence, to the activities necessary for institutional improvement (Chaffee, 1989; Chaffee & Tierny, 1988; Shirley, 1983). In this way, organizations seek to take charge of their future rather than become subjugated to external forces.

Extensive analysis and research led Chaffee (1984, 1985) to identify three models, or topologies, of strategy: linear, adaptive, and interpretive. The linear model is quintessential in its rationality and structure, and is characterized by a process which concentrates on setting long-range goals, evaluates inputs, adopts actions, and allocates resources--all designed to reach specified ends. The adaptive model recognizes the unpredictable nature of the environment requiring the organization continually to assess and adapt to changing external and internal conditions. The institution seeks to develop a viable match between the risks and opportunities of the environment and the capabilities and resources of the organization. Organizational complexities are acknowledged, stakeholder involvement is valued, and strategies are more multifaceted. The goal here is a co-alignment of the organization and its environment, with an emphasis on the relationship, or interface, between the two. Interpretive strategies assume that organizations are not rational, but socially constructed. This model views the organization as a collection of individuals cooperating in a mutually beneficial exchange which renders the political process and organizational culture important. As such, symbols, norms, and

myths are used to motivate behavior and obtain the commitment of the members of the organization to chosen strategies. The emphasis here is on an organization's ability to help shape its environment.

Chaffee's research found that strategy-making in higher education most followed the adaptive model. However, it was used in a more linear fashion than in the business community. Yet elements of the interpretive model were also evident, owing perhaps to an emphasis on mission and tradition. In later research, Chaffee linked the three modes of strategy to different forms of organizational effectiveness. Linear strategy correlates with goal achievement, adaptive with resource acquisition, and interpretive with constituent satisfaction. Thus, organizations can use different types of strategies as tools to reach the desired outcome (1989).

The formal development of strategies and their subsequent implementation reflect a deliberate process. Mintzberg believed that intended strategies can slip and drift, especially if they lack a bottom-up style of input and ownership required for effective implementation. An emergent process is one which looks at all possible outcomes, not just the intended goals and their results. These strategies are not deliberately set and then implemented as planned, but rather emerge and change as the internal and external conditions affecting them change. Emergent strategies are what Mintzberg calls "self-correcting" (1994b). Realized strategies are both those that were intended, developed, and implemented; and those that emerged out of patterns of behavior, but were not expressly intended in planning process.

Planning

In defining planning as an organizational change process, Peterson described planning as "a continuous process by which an institution assesses its current state and the likely future condition of its environment, identifies possible future states for itself, and then develops organizational strategies, policies, and procedures for selecting and getting to one or more of them" (1980). Thus, planning has an adaptive

or change-oriented function. Peterson went on to emphasize the continuous nature of the process and the need to accommodate the culture of each organization.

Drawing extensively on the literature, Mintzberg (1994b) fashioned his own definition of planning: a formalized procedure to produce an articulated result (plan), in the form of an integrated system of decisions. The emphasis is on formalization; a rational process rooted in analysis. The end product of planning are plans. The noun "plan" refers to an explicit statement of intentions and, by inference, is specific, elaborated, and documented. The verb "to plan" implies taking the future into account, either formally or informally. Mintzberg claimed that planning and strategy are intended to create stability in an organization.

Lelong and Shirley described planning as a process by which an institution identifies and evaluates alternative courses of action for its future. In the process, an institution defines or reevaluates its purpose and how to make progress toward that purpose (1984). Although external changes induced colleges and universities to embrace strategic planning, the shift to more qualitative and integrative approaches during the 1980s made planning, in general, more acceptable to the educational community (Hearn, 1988). Schmidtlein found evidence to support the premise that planning is used to reduce uncertainty about the future. Colleges and universities sought information to guide decisions and prepare to meet emerging conditions (1989).

Several types of planning usually occur simultaneously in colleges and universities, of which strategic planning may be one. As Schmidtlein (1990) noted, most institutions engage in a variety of planning processes, and even combine or mix types: program planning, facilities planning, operational planning, and budgeting. Strategic planning encompasses and links many levels of planning. In a review of institutions using strategic planning, Chan found evidence that institutions adapt the strategic planning concept to their individual campus culture, leadership style, and management process, and concluded that the planning process evolves and matures as an institution changes and develops (1993).

Various authors address the evolution of use of planning in higher education. Among them, Kotler and Murphy (1981) talked about budgeting and scheduling as a first phase in educational planning, followed by short range planning, long range planning, and the newest, more comprehensive approach of strategic planning. Heydinger (1983) referred to a similar series of successive stages noting that at first planning was not a discrete activity but subsumed by the budgeting process. The specification of institutional goals and objectives marked the second stage, also providing standards by which to measure success. The third stage was characterized by forecasting, indicating the move toward long-range, data-based projections. The fourth stage is distinguished by strategic planning, which acknowledges the interface between ever-changing external realities and the organization.

Strategy and Planning

The link between the concepts of strategy and planning, as described by the literature, implies a process, the intended outcome of which is a plan or set of strategies which will guide the direction of movement of the organization, responsive to the external realities impinging on its future.

The literature differs on whether or not decisions about the direction of movement can be formulated, or created, by systematic planning. The terms strategy-making and strategic planning are not always considered synonymous, as noted earlier. Shirley defined strategic planning as the process of collecting and analyzing data and generating and choosing alternatives (1983). Cope (1987), by describing strategic planning in its most simplistic form as a direction of organizational movement, challenged the concept of planning as an analytical exercise. Mintzberg (1994b) claimed that while strategic planning is one process by which organizations can create strategy, it is not, and should not be, the only way. Yet, strategic planning has become the dominant means by which strategy is formulated resulting in a new planning paradigm. Mintzberg further theorized that formal planning does not create strategy, so much as deal with the consequences of strategies created in other ways.

He maintained that strategy is the starting point, not the consequence, of planning. As such, planning does not generate strategies, but elaborates and renders them formally operational.

Unique Characteristics

By 1988, strategic planning in higher education had sufficiently evolved for there to be considerable definition and agreement about those characteristics are distinctive to this form of planning. Hearn, drawing from the literature, outlined five core principles of strategic behavior. First, it must be holistic in nature with a focus on broad organizational goals, mission, and values. Second, a medium-range time frame was most appropriate. Third, the process must be both externally and internally focused encompassing an evaluation of conditions, resources, and capabilities. Fourth, it must be an ongoing, continuous process; a direction of movement with continuous adjustment. Fifth, there must be a blend of qualitative and quantitative approaches. It was the external, open-systems view which most differentiated this approach from long-range planning (1988). A synthesis of the literature both prior to and since this time finds that attention is given each of these characteristics, some more consistently than others. The necessity of an organization-environment interface and a process continuous in nature are the two characteristics most often cited.

Organization-environment interface. Perhaps most dominant throughout the literature is the concept of a sensitivity and responsiveness to external conditions in conjunction with consideration of the internal capabilities of the organization. Among the earliest and strongest proponents of this approach was Cope (1981, 1987). Drawing from the business literature, Cope described strategic planning as an open systems approach, meaning that an organization not only interacts with its environment but examines the assumptions driving the organization. If an organization is acting in concert with its environment, it is then able to sustain its desired course of action. Morrison and Mecca (1989) asserted that as social systems,

which exist in and interact with their environments, colleges and universities are inescapably affected by these environments and thus, need to engage in a planning process which is sensitive to environmental shifts.

Similarly, Mintzberg (1994b) stressed that the key element, recurrent in all the literature, is the congruence of the fit between external and organizational factors with strategy created or formulated at the intersection of the organization and its environment. Cameron (1984) contended that, for higher education, the external environment becomes more dominant at times when organizations have less slack. Further, understanding the nature and magnitude of the scarcity of resources facilitates better-decision making (Bloomfield, 1993).

An assessment of the external environment must necessarily analyze the threats and opportunities emerging from demography, technology, economic and financial trends, political and legal developments, international conditions, and concerns for changing social values and quality of life (Toll, 1982). Examination of the external environment also helps define the strategies and goals of an institution by identifying its position in relation to other colleges (Jonsen, 1984). Environmental scanning is one technique advocated as a means of conducting such an assessment (Hearn & Heydinger, 1985; Morrison, Renfro, & Boucher, 1984).

Strategic planning assumes that the long-term viability of an institution depends on a process that produces, or revises, its plan either in response to external pressures, or to enhance its resources from, and position in, that environment. Thus, an institution needs a strategy for relating to that environment (Peterson, 1980). Baldridge and Okimi, like Peterson, stressed the focus on developing a good fit between the activities of an organization and the demands of the surrounding environment (1982).

By the mid-1980s the emphasis on the external environment gave way to an understanding that sensitivity to the environment had to be coupled with an assessment of the competencies of the organization to achieve an appropriate fit. Rather than simply adapt to changing external conditions, such adaptation must be done in

consideration of the mission and values of the institution (Chaffee, 1985; Hearn, 1988).

The assessment of internal strengths and weaknesses evaluates the complexities and context of the organization and its needs and capabilities, and must also include an analysis of the values of organization members and stakeholders (Shirley 1987). This assessment of internal capabilities must also encompass an evaluation of the mission of an organization as well as of its programs. Program review, according to Cope, must assess the quality, centrality, comparative advantage, and demand of programs (1981).

The call for balance was clearly advocated by Baldridge and Okimi, who embraced strategic planning for its intent to consider the big picture, the long-range destiny of the institution, competition between the institution and others, markets for the products and services of the organization, and the mix of internal resources to accomplish the purposes of the organization (1982). Strategic planning treats the organization both as immersed in the environment and as an organization whose adaptive responses must be internally sanctioned and feasible. The direction and objectives of the institution need to be shaped in light of emerging external factors, as well as those internal to it (Jonsen, 1984).

Continuous process. An externally-responsive approach to an ever-changing environment requires continual adaptation on the part of the organization. Such ongoing adaptation implies a process continuous in nature. As such, strategies must continually be evaluated, reassessed and adapted, as necessary (Cope, 1981, 1985; Keller, 1983; Peterson, 1980; Porter, 1987; Steiner, 1979). Unterman and Davis also underscored the importance of continuous change, noting such change requires continuous effort (1984).

In a similar vein, Foote (1991) emphasized the importance of the process over the plan. It is the process which builds institutional consensus, ownership, and commitment. While many laud this approach, it does not preclude the exercise of strong and decisive leadership according to Keller (1983) and Mintzberg (1994b).

The Process of Strategic Planning

Some, foremost among them Mintzberg, describe any planning process as rational, formal, and highly structured. Others, such as Cope, see the ideal form of strategic planning as fluid, adaptive, culturally sensitive, and integrative. Thus, the "process" of planning can range from a rational, orderly approach to something fluid in nature. Mintzberg observed that strategy-making in non-profits cannot be hierarchical and centralized, but must couple analysis with intuition. Strategic planning in this environment must be more informal, looser, and less rigid than its business counterpart (1994b).

Given the unique character and circumstances of each institution, each process will, necessarily, be a hybrid tailored to the needs of that institution (Bryson, 1989; Keller, 1983; Shirley, 1987; Steiner, 1979). Not only must each model be designed to fit the unique characteristics of the organization and its patterns of behavior, but the process used is also dependent on the impetus driving planning. The planning process itself is situational, varying not only by organization, but over time within a particular organization (Adler & Lane, 1988). Chan (1993) also observed that the process evolves and matures as an institution changes.

There is however, throughout the literature, evidence of five major steps or stages in the strategic planning process: (a) assessment of institutional mission, goals and objectives, (b) assessment of the external environment, (c) assessment of the internal environment, (d) the identification and formulation of strategies, and (e) the selection and adoption of key strategies. The planning portion of the process is followed by operational planning, implementation, and evaluation.

An examination of the mission of an institution is an effort to determine the future viability of the current mission and to assess the need, ability, and willingness of the organization to change. The values, norms, and beliefs of the institution are examined as is the educational purpose (Peterson, 1980).

The examination of factors external to the institution helps identify the opportunities and constraints arising from the changing environment. Environmental

scanning, the primary method by which this is accomplished, is the process of gathering, analyzing, and preparing data for evaluation by those involved in process. The composite information about demographic, economic, political, and social trends; competitor analysis; and stakeholder perceptions provide the organization with the information it needs to make decisions (McCune, 1986). The next stage of the planning process, the analysis of internal resources and capabilities, seeks to assess how well the organization is performing, where the gaps are, and what the capacity of the organization is (McCune, 1986). This internal assessment includes an evaluation of all academic and administrative programs, facilities, and financial and human resources, looking for strengths and weaknesses in each and all (Cope, 1981).

Strategy formulation consists of the creation, or identification, and selection of appropriate institutional strategies and articulating the vision for the preferred future of the organization. This stage of the planning process may also determine the goals and objectives by which they are to be achieved. Although previous stages may involve many people, the actual formulation or choice of strategies may rest with a smaller group of top leaders (McCune, 1986; Mintzberg, 1994b). However, formulating a strategic plan is not enough. It must be followed by a commitment to see it implemented and future actions if it is to result in movement of, or change within, the organization (Adler & Lane, 1988). Strategy formulation and implementation are not sequencial, individual activities and far from automatic (Ansoff, 1984; Steiner, Kunin, & Kunin, 1983).

Implementation includes the development of appropriate operating, or action, plans; those activities designed to implement the strategy. As Buhler-Miko noted, strategies will never materialize if they are not operationalized (1985). An operating plan is a plan for implementation which articulates the needs and goals with regard to faculty, facilities, students, and resources. It establishes time lines, measurable objectives, and assigns responsibility to guide staff and provide a yardstick for assessing progress (McCune, 1986).

Implementation should also include a communications dimension providing planning participants with frequent feedback to keep them informed on progress toward plan goals and strategy changes. Corak and Wharton concluded that such communications reduce skepticism about the value of the planning process and increase commitment to plan objectives (1992). Further, responsibility and authority must be delegated to individuals capable and willing to act (Buhler-Miko, 1985; Unterman & Davis, 1984).

Evaluation is both the final stage of the planning initiative and the precursor of a new one. Evaluation should assess both the process of planning and the success of implemented strategies; with revisions occurring as necessary. Unfortunately, most evaluation is of the planning function rather than of the decisions made (Shirley, 1987). Although some focus on process is appropriate, it should not become the end result (Mintzberg, 1994b; Bryson, 1989). The evaluation stage documents progress toward the specified strategies, identifies problems, and sets the stage for modifications or revision. Such activity addresses the question of whether or not the strategies chosen have led to an improvement of the programs, market position, and financial strength of the institution (Buhler-Miko, 1985).

Some argue that the lack of a well-conceived planning process, congruent with the culture of the organization, is an impediment both to the development of effective strategies and their subsequent implementation (Haas, 1980; Shirley, 1987). Buller cited evidence indicating that the way in which strategic decisions are made can also affect outcomes. The formality of the process, the kinds of individuals involved, and the types of issues considered are all factors which affect the understanding of stratgy and the commitment to implementing it (1987).

Divergence from the Corporate Model

Given differences in the character of institutions of higher education as distinguished from those in the private sector, the character of strategic planning as conducted in the educational community also differs from its corporate counterpart.

Not only does the process of planning differ, but the nature of the intended outcomes do as well.

As Cyert (1978) noted, in business the motivation is always to increase sales, production, and profits; where as in education the objective is to increase quality and achieve excellence, both goals elusive in their definitions. The intangible nature of these intended outcomes makes both the definition and measurement of the strategy more difficult.

Mintzberg cited the less hierarchical nature of the organization as primary in understanding differences in the processes. Because academic institutions are characterized by a system of shared governance and loosely-coupled operating cores, organizational strategies are an aggregation of individual and collective ones. In this environment, strategic planning is not used to control, but to contribute to, the debate and interplay of already existing collective processes of decision-making. As such, the process is almost diametrically opposed to the conventional corporate model but may, in fact, be more effective (1994b).

Long-range Planning

Strategic planning essentially represents a shift in emphasis. Both strategic and long-range planning are concerned with the future of the institution, but the latter assumes the organization will remain fundamentally stable with projections made on that basis (McCune, 1986). Similarly, Bryson (1989) describes strategic planning as seeking to shape the future, while long-range planning projects the future based on known realities. The failure to take the external environment into account is often cited as the major shortcoming of long-range planning (Morrison, Renfro, & Boucher, 1984). Buhler-Miko (1985) not only distinguishes strategic planning by its focus on the environment, but by its shorter planning horizon, its recognition of a "product life cycle," and its niche, or positioning, orientation.

Norris and Poulton further differentiate the two planning models by describing long-range planning as relatively rational and quantitative while strategic planning is

more qualitative, value-laden, and political in nature (1991). Others note that long range planning is a deductive process which emphasizes stability, while strategic planning is inductive and change-oriented (Meredith, Cope, & Lenning, 1987).

Operational Planning

Colleges and universities often fail to differentiate between strategic and operational planning. Consequently, the direction of movement of the institution can become blurred (Buhler-Miko, 1985).

Operational planning defines how a strategy will be implemented and is a vehicle through which it is implemented. Strategic planning decides the "what", operational planning determines the "how" (Shirley, 1987). As Steiner defined them, strategic decisions consider the forces affecting the entire organization while operating plans are characterized by very specific concrete actions (1983). Further, strategic planning takes place in the management arena while operational planning occurs in the administrative arena (Buhler-Miko, 1985).

Lisensky (1988) maintained the primary difference between these two approaches was the unit of analysis. Strategic decisions concentrate on the entire institution as the unit of analysis; operating plans focus on individual departments. Shirley echoed this view, stating that strategic decisions are those made at the institutional level, focusing on mission, goals, program priorities, and comparative advantage. Operational planning then determines how to accomplish and implement the overall strategy in areas such as finances, facilities, enrollment, and human resources (1987).

Another differentiating characteristic is time frame. Operating decisions are usually short-range and follow the schedule of the annual budget cycle. As such, operational planning establishes short-range objectives, priorities within those objectives, and the kind and level of resources needed to achieve them (Schmidtlein, 1989).

Conceptual Summary

In spite of all that had been written about strategic planning throughout the 1980s, Meredith, Cope, and Lenning found in their 1987 survey of academic institutions that the concept remained a broad and varied one, encompassing a diverse array of techniques. Often confused with long-range planning, strategic planning was not well understood.

Disparities remain between what strategic planning is, the goal or purpose of strategic planning, and how that purpose is accomplished. Mintzberg viewed strategic planning as a strategy-making process, albeit not the only way in which strategy is created (1994b). Others take a broader view, incorporating the self-assessment and external analysis phases as critical in producing the fundamental decisions and actions that shape and guide what an organization is, does, and why (Bryson, 1989). Most agree that the concept of strategic planning eludes precise definition. It is above all a process, the goal of which is to formulate strategy; strategy designed to guide the movement of the organization toward a set of measurable outcomes (Cope, 1981; Rieger, 1994).

The purpose, or objective, of strategic planning is to produce a vision, or achieve clarity of institutional mission, as defined through one or more strategies (Bloomfield, 1993; Shirley, 1988). As a consequence, an institution develops a niche or position for itself and its programs which makes clear how it differs from its competition and how it will secure a market and resources for itself (Buhler-Miko, 1985).

Scholars emphasize the value of strategic planning is its ability to help colleges and universities change; an activity made necessary by external pressures. Thus, strategic planning seeks to place goal-setting in a broader context, by coupling the organization with its external environment (Rieger, 1994). The process by which strategies are formulated relates the organization to its environment to ensure success (Cope, 1981).

If strategic planning is not an end, but a guide, to help leaders make important decisions and to take action, then the means by which that is done are also important. Termed by Steeples as "adaptive management," strategic planning is fundamentally a process, systematic and disciplined in its approach, by which organizations make decisions about their vision, goals, markets, priorities, and programs (1988). Such an approach examines the environment in which the institution operates, and assesses the internal strengths and weaknesses of the organization, as it moves to position itself advantageously (Schmidtlein, 1989). In this particular process, determining and maintaining a set of relationships between the organization and its environment also uses resource allocation to pursue objectives matching institutional capabilities with the opportunities and threats of the environment (Hatten, 1982).

This process of developing and maintaining a strategic fit between the goals and capabilities of the institution, and its changing market opportunities, relies on developing a clear institutional mission, supporting goals and objectives, a sound strategy, and appropriate implementation (Kotler & Fox, 1985).

McCune, building on the business concept, defined strategic planning a management tool for changing and transforming organizations. It is, however, also a way of thinking and solving problems, a staff development activity, an organization development experience, and a community education process (1986). The organizational change, education, and communication functions of planning are also advanced by Peterson (1980).

Perhaps Cope offers the best summary, defining strategic planning as "an institution-wide, future-examining, participative process resulting in statements of institutional intention that synergistically match program strengths with opportunities to serve society" (1981).

Strategic planning may be and do all of these things, but it is first and foremost a means to an end, not the end itself. Too many individuals came to view strategic planning as a panacea for solving the problems of higher education. It is, in reality, merely a tool. But it also connotes a different way of thinking and viewing

the circumstances of the institution. The process must not obscure the objective. As Bryson suggested, if the process gets in the way of strategic thinking, then scrap the process, not the thinking and acting (1989). Strategy formulation is conceived as broader and more encompassing than strategic planning. Strategies can be formulated through the strategic planning process or formed, over time, out of patterns of behavior (Mintzberg, 1994b). Strategic planning may be the first step toward achieving this different way of thinking and acting to ensure the greater vitality of higher education.

Organizational Context

Strategic planning is not an isolated process. The nature of the organizations in which planning occurs may well affect planning outcomes. The characteristics unique to higher education, the nature of organizational change, academic leadership, and institutional size all have bearing on the patterns of change observed.

Distinguishing Characteristics of Higher Education

Higher education differs significantly in character and structure from the corporate sector in which strategic planning originated. First, higher education is characterized by a system of shared governance. As a consequence, authority is diffused and stakeholders may lack unanimity about institutional mission and goals (Baldridge, 1982; Clark, 1983; Corson, 1975). Second, the complexity and multi-dimensional nature of academic institutions results at once in both "closely-integrated" yet "loosely-coupled" activities (Cohen & March, 1986; Hearn, 1988). The effect is to make organizational adaptability more difficult and to preclude a clearly defined and consistent product and production process (Chaffee, 1985; Hearn, 1988). Third, as a non-profit, service industry goals are multiple, ambiguous, and often conflicting, and success more difficult to measure (Chaffee, 1985). Given these differences, the standard business planning theory has not been directly applicable to higher education, and business models are still being adapted to reflect the differences in the

organizational culture of educational institutions (Chaffee, 1985; Hearn, 1988; Schmidtlein & Milton, 1989).

These three factors, academic governance, goal ambiguity, and segmentation, substantially differentiate higher education from business. It is these differences, and thus the context within which planning occurs, that affect the outcomes of both the planning effort and the process of change and redirection (Adler & Lane, 1988; Hatten, 1982).

Although academic administration is hierarchical in nature, the faculty body is governed by a democratic and collegial structure. Each group is semi-autonomous from the other. The various academic disciplinary communities and the campus community are only loosely-coupled (Weick & Daft, 1983). As a consequence, decision making is decentralized. Further, educational institutions are political in nature, not rational. Decision making power is dispersed, faculty have the major role in academic matters, and administrative power is derived from budgetary control. Such a loosely-coupled structure and decentralized authority means strategy cannot be mandated from top and such a structure fails to promote organizational adaptability (Chaffee, 1985; Schmidtlein & Milton, 1989).

Hatten distinguished not-for-profits principally on the basis of how goals are determined and their achievement measured (1982). Goal-setting is necessarily influenced by multiple interest groups with differing needs. Varying groups of stakeholders--scholars, administrators, students, alumni, volunteers, and board members--all bring different values and points of view creating difficulties in communication about appropriate goals and success measures. As Davis pointed out, corporate goals are more straight forward and unambiguous, and success can be easily measured with finances. In education, the scope is different, and therefore more difficult to measure (1985).

Seymour, citing the specialization inherent in academic institutions, underscored the difficulty of developing and implementing strategic plans in higher education (1989). The more complex and specialized the institution, the more

fragmented its behavior. Under such circumstances, an organization looses its sense of oneness and commonality of purpose, and the ownership and implementation of an adopted vision and strategy will be less potent and less pervasive.

Cope (1981) suggested that because colleges have more goals than business and lack consensus on priorities, decision-making occurs in an environment where political considerations dominate and participation is norm, where there is a broader range of constituents, and where the lines of authority are less clear. Given this context, it is more difficult for higher education to plan strategically. Chaffee also claimed strategic options are constrained, due to the historically weak influence of clients, lack opportunity to achieve economies of scale, importance of geographic location as a significant determinant of success, and the complex integration of functions (1985).

Keller suggested, however, that some of these characteristics are changing. The increasing scarcity of resources has transferred more power and authority to financial officials and is pushing universities toward more centralized decision making. Campus governance is taking new forms as decisions require more rapid and decisive action. Communications are becoming more open. Not only are institutions more aware of the economic, political, and cultural environments surrounding their campuses and the market for their educational services, but they are also responding in new and varied ways (1983).

Thus, the characteristics which distinguished higher education shaped the planning model which evolved. The process was sensitive to mission and values, encouraged a blend of qualitative and quantitative approaches, and less rational in its method. It also emphasized a broadly participatory process, involving a range of constituents.

Organizational Change

The process by which organizations change, and the context within which planning takes place, affects the change which subsequently occurs. Cameron

distinguished organizational adaptation from changes made for organization development purposes. The latter are motivated from within the organization and are planned to alter individual attitudes and behavior as well as to change the organizational culture. By contrast, organization adaptation focuses on organization-level changes motivated by efforts to adjust to the changing external environment (1983). Using slightly different terms, Winstead defined change as "a process of altering, modifying, or transforming; planned change is a deliberate process designed to solve a problem or improve a condition" (1982a).

Peterson (1980) described organization development as a method of planning with roots in the human relations tradition, but using a rational paradigm. Planning here is concerned with changes in organization culture, management style and decision making patterns, work structure, communications, and influence. The goal is to improve the individual and collective well being with personal performance, growth, and development the ultimate goals.

Organization development and strategic planning are two different types of tools used to achieve organizational change (Buller, 1987). Whereas organization development focuses on people and processes as the change levers, strategic planning focusses on strategy, structure, and rewards as the change levers. Buller advised that a blend, or integration, of the two approaches is needed.

Many environmental, situational, and personnel variables affect the process of change and the ultimate success of the innovation. Moorish (1976) indicated the adoption of change is dependent on its costs, complexity, the relationship between the source of change and those affected by it, and the general congruence between the innovation and the culture of the organization. The gap between the conception of an idea and its application is due, in part, to the lack of clear economic incentives. Resistance doesn't usually occur until change appears imminent and is evidenced in personalities and in actions.

As Kashner noted, the academic culture is remarkably resistant to change and innovation (1990). Although some equate change with renewal, others view it as

destabilizing and an alteration of the hierarchies of power and status. The human response to the latter is anxiety, often leading to resistance (Farmer, 1990). Thus, institutions are challenged to preserve their most valuable traditions while introducing the changes required by society.

Organizational culture. The culture of an organization plays a role in the outcomes of change initiatives. Corak and Wharton (1992) defined culture as the values, structure, and politics of an organization; Chaffee and Tierney (1988) defined culture as organizational identity.

To be successful, planning must accommodate the traditions, governance, and administrative style of the institution. If it is a good fit, plans are more likely to be viewed as legitimate and will be better integrated. If it contrasts with organizational culture, resistance will develop or planning will occur in isolation (Peterson, 1980). Ansoff argued that resistance manifests itself throughout the change process, and that the amount of resistance to change is proportional to the degree of discontinuity in the culture and/or power structure introduced by the change. Reactive cultures are introverted, risk-aversive, and resistant to change versus creative cultures which are open to new information and seek change (1979. 1984). Steiner (1979) also asserted that organization climate and culture were important for planning to be successful, noting that the process must be congenial, must foster creative thinking, and must mesh with the structure of the organization.

The congruency of culture within the organization leads to increased effectiveness (Cameron & Ettington, 1988). The findings of Schmidtlein and Milton (1990) confirmed this importance of meshing planning with institutional culture. When planning is inconsistent with institutional modes of behavior, it has minimal impact or does not persist because the processes are not sufficiently institutionalized.

Because the process of change is complex, it has little chance for success if the innovation contradicts existing values or is not in keeping with the structural properties of the institution (Moorish, 1976). Faculty members are the primary carriers of institutional culture by virtue of their length of tenure and their

responsibility for academic programs and policies (Gappa, 1993). As such, their involvement and/or commitment affects the adoption of the innovation. Simsek and Louis, citing change as a highly decentralized, community-based activity, claimed that any change orchestrated from the top cannot define an institution-wide change process without lots of participation and attention to values (1994).

Organizational structure. Baldridge and Deal (1983) stated that to understand how organizations change one needs to understand how they are structured, since that structure affects the nature of the change which occurs. Colleges and universities are systems of shared governance. The basis tenet of shared governance is that the management of an academic institution is a joint, interdependent effort of the governing board, administration, faculty and students. Faculty build and maintain academic programs and policies while administrators manage and staff serve (Millet, 1980).

The traditional view of a rational change process has given way to one influenced by the environment, politics, and culture. In support of this view, Baldridge and Deal asserted that change is natural and fundamental; that important change is not deliberate but largely unplanned, governed by a serendipitous flow of events, people, and circumstances beyond the control of administrators and faculty; and that change is a management issue. In this new environment, they advocated strategic planning as the more useful approach for managing change.

Millet (1980) envisioned planning, a vehicle by which change is effected, as a process that cuts across the governance, management, and leadership structures of the campus. A plan is a decision of the governance structure requiring approval before managers and leaders can execute it. Participatory decision-making is a well established tradition in the shared system of governance of higher education (Gappa, 1993). But faculty are the least prepared to make the critical choices facing institutions given loyalty to their professional disciplines, above that of the common good, and their lack of expertise to make the decisions necessary in times of scarce resources (Millet, 1980).

Academic Leadership

Kotler and Murphy (1981) found that few collegiate leaders were able or willing to focus systematically on change, a view echoed by Keller (1983) in his call for the use of strategic planning as a means by which to strengthen management and assist institutional change. Keller also noted that although institutions may be forced into planning by circumstance, crisis, or outside pressure, few did so motivated by visionary leadership.

The literature provides no single definition or measure of effective leadership. However, there is general agreement that strong, effective leadership is necessary for a strong effective institution. Two basic tenets are evident throughout the literature: (a) the efficacy of leadership, that leaders have the power and resources to make choices that will affect organizational outcomes; and (b) that there is differential success among leaders.

Chaffee and Tierney (1988) distinguished leadership, defined as "individual action," from strategy, which implies organizational action. Looking at the role of the leader in affecting change, they found that leaders need to eliminate the divergence and create congruence among the structures, environment, and values of the institution in order to achieve intended strategies.

Leadership takes different forms depending on whether an institution is viewed as a bureaucracy, a collegium, a political system, or an organized anarchy. Numerous scholars, using various organization models, have developed different theories on leadership styles and many have discussed the role of leadership in academic change. Millet described leadership as the necessary link between management and governance. As such, a president must muster political resources and concentrate on communication and cooperation among constituent groups (1980). Schmidtlein and Milton concluded that central leadership is needed to identify the critical issues facing the institution, noting that faculty are not positioned to understand the campus-wide implications of external conditions. Yet, they found the involvement of faculty necessary to the development of innovative solutions and

implementation of programs (1989). Steeples contended that strong presidential leadership is required to overcome the inertia and decentralized decision-making structure of academic institutions (1988).

Academic leadership is viewed as essential to the success of strategic planning and organization change. Keller believed the president and other institutional leaders must be fully committed and involved in the process, requiring a change in their thinking and acting, for strategic style planning to be successful. Further, the style of these leaders affects the nature of the planning process and considerations given to the culture of the organization (1983). Buhler-Miko (1985) asserted the commitment of trustees was required as well. Because strategic planning is a means by which critical issues are resolved, priorities established, and institutional directions laid out, it is the fiduciary responsibility of trustees to attend to those policy issues which address the overall academic and financial viability of the institution.

However, changes in the environment have demanded more complex and varied approaches in leadership styles, as evidenced by the adaptive and interpretive strategies used in Chaffee's research (1984, 1985, 1988). Bensimon, Neuman, and Birnbaum advocated an integrated approach to leadership, requiring attention to the structural, human, political, and symbolic needs of the organization, as more effective when dealing with the complexities of academic organizations (1989).

Some scholars have challenged the traditional notions that organizations are driven by leadership, or that the quality of leadership significantly affects organization performance. Cohen and March (1974), characterizing academic institutions as ambiguous, suggested the leadership of such institutions is ambiguous. Ansoff (1984), describing management as a pragmatic, results-oriented activity, questioned whether implementation of the abstract concept of strategy could actually be measured.

This change in thinking and an increased concentration on the cultural and social perspectives of organizations, led Bensimon, Neuman, and Birnbaum to suggest that presidents should concentrate on making marginal improvements rather than

attempting to leave a bold imprint. The external and internal constraints have reduced the degrees of freedom within which president can exercise leadership and therefor the extent to which one can significantly influence change (1989).

Ansoff asserted that strategic leadership is rare in non-profits but political influence is rampant, largely because of the distributed power structure (1979). The key difference between the two is that political influence calls for exercising political skills on behalf of a constituency while strategic leadership requires a clear perception of the common purposes of an organization and ways to attain them. McCune, however, asserted that the power of strategic planning lies in its compatibility with new forms of management. The collegial and participatory approach engenders integrated decision-making, and a congruency of mission and goals, which not only provides direction, but affirms common values (1986).

Institutional Size

Although no studies were found relating planning outcomes to institutional size, there is some evidence which suggests strategic planning is more likely to be successful in smaller institutions than in large, complex universities. Theorists such as Cameron (1984) cite size as a factor influencing the character of the institution and thereby the nature of organizational change.

A review of the literature reveals repeated references to the greater vulnerability of small institutions to external pressures (Baldridge & Tierney, 1980; Jonsen, 1984; Moskin, 1989). Cameron, among others, found small, liberal arts colleges among the most vulnerable to the influence and effects of the changing external environment. Their ability to cope or adapt was more stretched because of a lessor degree of organizational slack (1984).

Although planning processes were found to be similar in small and large institutions, there were also differences (Baldridge & Tierney, 1980). Planning was simpler and less complicated at small institutions. Fewer people were involved in the process, there were fewer layers of organizational hierarchy and outside interest

groups, and there was a greater sense of shared responsibility. Simsek and Louis suggested strategic planning may also appear to work better at small institutions where collective discussions about assumptions and values are easier to manage (1994).

As organizations get bigger and more complex, they become more decentralized, bureaucratic, and variegated in mission, suggesting it is more difficult to conduct strategic planning (Keller, 1983). Seymour observed that specialization increases with size and complexity, leading to less flexibility, adaptability, and commitment to the common good (1989). Hearn (1988) suggested that the holistic approach of strategic planning makes it more applicable to small colleges as contrasted to the highly decentralized and differentiated character of large universities.

Jellema (1986) reported that smaller institutions were very successful in revitalizing themselves, effecting bold, radical changes in the face of problems and changing circumstances. Such success was attributed to a singleness of purpose and more tightly knit constituencies which facilitated communication and a deeper commitment to organizational goals. Further, small institutions were most likely to be able to integrate budgeting and planning (Orwig & Caruthers, 1980).

Institutional Effectiveness

Most theorists and practitioners agree that the purpose of strategic planning is to improve organizational effectiveness, but there is little agreement on what that is (Shipper & White, 1983). The terms "effectiveness," "success," and "quality" or "excellence," while not synonymous, suggest accountability and an assessment of improvement or change. An understanding of the construct, the criteria by which it can be measured, and the methodology for doing so has particular relevance to an assessment of the outcomes of strategic planning.

Effectiveness as a Construct

The problem with defining the construct of institutional effectiveness lies in the historical evolution of higher education (Cameron, 1983). Growth and expansion,

long characteristic of higher education, are considered indicative of effectiveness. This became problematic during conditions of decline. Much of our organization theory is based on assumptions of growth. Open systems theory posits that organizations adapt by adding or growing to respond to their external environments. The theory of organization development addresses the need for humanizing the work place as it grows. Thus, as higher education moved into an era of contraction, what constituted optimal performance became unclear making the measurement of the performance more enigmatic.

Chaffee's review of the literature identified three forms of effectiveness: goal achievement, resource acquisition, and constituent satisfaction. Different types of strategies are used to achieve these different forms of effectiveness, the outcomes of which are often intangible (1985). Based on an analysis of multiple research studies examining predictors of success, Chaffee concluded that outcome measures for higher education are more reputational and less financial.

Because there is no universal, comprehensive theory of organizations, Cameron and Whetten (1983) asserted there can be no singular model or definition of organizational effectiveness. If academic institutions are perceived as rational, goal-oriented systems, then it follows that an acceptable measure of effectiveness is goal attainment. By contrast, if institutions are viewed as political organizations comprised of competing interest groups, then effectiveness is more aptly measured by the extent to which different constituencies are satisfied with the allocation of resources. As Brewer observed, the contextual nature of values makes organizational effectiveness difficult to operationalize (1983).

In reality, individuals are constantly faced with the need to make judgements about the effectiveness of organizations. Hatten suggested there are two dimensions to organizational performance in not-for-profits: (a) financial survival, and (b) effectively serving customers, both users and recipients of institutional services (1982). Measuring and linking the latter to financial performance is difficult, at best.

The concept of an effective or successful organization suggests there is little or no gap between expectations and perceived performance. Supporting the notion that success is defined in part by the mission and goals of the institution, Lisensky (1988) wrote that healthy institutions share the following characteristics: a clearly articulated and widely shared vision of institutional goals, a plan with which to guide the institution, the means for self assessment, and a willingness to self-correct. Further, achieving institutional health required the linkage of planning, assessment, and budgeting rather than pursuing these as three, unrelated procedures. Endorsing the importance of resources, Cope (1987) defined success as the attainment of mission through the acquisition of resources.

Morgan and Mitchell (1985) addressed the concept of excellence, defining it as how well an organization achieves some prescribed set of objectives. To achieve such excellence involves strategic choices; a setting of priorities. They reasoned, drawing from their research, that just as the type of strategic choices portend differentiation among institutions, there then must be differences in how excellence is defined. Like those examining organizational effectiveness, they concluded that little progress has been made on the operational definition of excellence because the concept reflects decisions about educational purpose, institutional governance, and the allocation of resources.

Outcome Measures

If the ultimate goal of evaluation is organizational improvement (Wergin & Braskamp, 1987), then institutions need appropriate measures to assess change and the outcomes of planning initiatives. Scott asserted that only by evaluating effectiveness can campus leaders fulfill their roles as stewards, managers, and leaders (1984). Thus, the concept of measurability becomes important. In spite of the growing attention given this area, there remains considerable controversy not only about what is meant by the construct organizational or institutional effectiveness, but what criteria should be used to measure it.

In 1978, Cameron noted the lack of common criteria by which to measure organizational effectiveness in higher education, due largely to multiple and contradictory goals, a dominance of differing constituencies at different times, and differences in criteria at different organizational levels. In an attempt to provide a methodological framework for such assessment, Cameron developed nine dimensions of organizational effectiveness: student educational satisfaction, student academic development, student career development, student personal development, faculty and administrator employment satisfaction, professional development and quality of faculty, system openness and community interaction, ability to acquire resources, and organizational health (1983). Miller identified seven elements as measures of institutional quality: student outcomes, administrative leadership, constituent perceptions, community impact, fiscal indicators, state-level boards, and federal agencies. The focus of each can be department-specific or institution-wide (1980). However, these measures may or may not be useful in assessing the outcomes of specified strategic goals.

Goodman, Atkin, and Schoorman (1983) advocated the study of specific outcomes rather than seeking a general organizational effectiveness construct. Scott (1984), summarizing the findings of multiple case studies and theorists, suggested that performance criteria vary by institution type and other characteristics. To evaluate change against such criteria requires an understanding of institutional goals, the context of the activity, and the resources available.

The traditional approach of measuring "inputs" such as faculty, facilities, enrollments, budgets, and other resources has given way to a consideration of "outputs," or results, and the intervening processes that use resources to produce outcomes. Measures to assess these results can be quantitative or qualitative, including judgements and descriptions, and they can reference specific activities and processes or give a general assessment of program performance (Banta & Borden, 1994). The outcomes being assessed can include the effectiveness of instruction, quality of graduates, amount of community outreach, and the amount and value of

research. Given this range of outcomes, performance measures can be absolute or relative, the latter far more difficult to define (Bloomfield, 1993).

The use of "performance indicators" can be useful in the assessment of external conditions, evaluation of internal functions and resources, and as an indication of progress toward planning goals (Dolence & Norris, 1994). The use of such indicators emerged in response to pressure for academic institutions to demonstrate their effectiveness. As such, they attempt to document improvement in specified areas and thus establish a basis for accountability (Banta & Borden, 1994). However, it is important not to confuse assessment and the use of performance indicators with the success of academic purpose (Ewell, 1988).

A number of scholars have outlined measures specific to assessing institutional improvement as related to strategic planning. Hatten defined improved organizational performance for a non-profit in terms of its provision of services and its effective use of resources and control of costs (1982). Chan offered greater faculty vitality, better articulated mission, stronger institutional identity, enhanced academic quality, increased enrollment, greater financial strength, and user satisfaction as indicators of successful strategic planning (1993). Bloomfield (1993) identified the appropriate criteria for measuring success in strategic planning as those programs which facilitate progress toward the vision. An evaluation of these programs would include their centrality to the mission of the institution, program quality, program costs, program demand, and pertinent political considerations.

Hatten further observed that the success or failure of colleges and universities is not so clearly measured as in business. Differences in goals, management functions, and the ways in which achievement is determined and measured, as well as a natural resistance to specificity, all mitigate against the effective application of strategic planning to academic institutions. External influences, perhaps, are also more diverse making appropriate responses more difficult (1982). Hearn (1988), drawing from the research, noted the measure for assessing strategic success in business was usually based in some indicator of resources, such as profit, ratio of

income to assets, return on investment, cash flow, return on assets, return on equity, sales growth, or external rankings. In higher education, outcomes were most often enrollment or quality driven with only a few institution using financial indicators.

Effectiveness, then, is not easily measured. It has no precise, agreed-upon indicators, focuses on the organization-environment interface as well as on internal processes, and emphasizes resource acquisition over allocation. Further, the propensity of academic organizations to emphasize efficiency and resource allocation over effectiveness, as well as a tendency toward conservatism rather than innovation, ultimately leads to ineffective performance (Cameron, 1983).

Cope differentiated the concepts of effectiveness and efficiency, defining efficiency as doing things right and effectiveness as doing the right things (1987). Fecher (1985) described effectiveness as a focus on the resources needed to achieve an intended level of quality. By contrast, efficiency emphasizes the economical use of resources through the management of facilities, personnel, technology, and cash flow and investments. Yet, both may be appropriate objectives for academic institutions, assuming the goal is the delivery of teaching, research, and service to highest level of quality by effectively and efficiently using human and material resources (1985).

Questions remain about who defines the goals and criteria and how they are measured. Cope (1981) equated the objective of strategic planning to that of achieving maximum institutional effectiveness: matching internal resources with opportunities to serve and advance the social good. Although the mission, philosophy, structure, and standard operating procedures of non-profits mitigate against assessing the performance of academic organizations, the notion of accountability is relevant and these institutions will increasingly be required to measure their performance (Kearns, 1994).

Methodology

The institutional self-study process, total quality management, academic program review, state-mandated assessments, and external consultant studies are all

methods of performance appraisal. The institutional self-study provides one framework for assessing the effectiveness of the institution as a whole, but it only occurs every ten years. A rapidly changing environment and public demands for accountability require more frequent appraisals (Chambers, 1984).

Although strategic planning is not generally used as a model by which to assess organizational effectiveness, an evaluation of the outcomes of such a planning process can demonstrate change related to the stated objectives of an institution. As Simsek and Heydinger observed, those institutions that succeed in the next century will be those that recognize and respond to change (1993). The ability to evaluate institutional change, and the relationship of such change to institutional goals, contributes to the achievement of academic purpose.

The Practice of Strategic Planning in Higher Education

Strategic planning, as practiced by higher education, has been premised on the perceived benefits of such planning and informed by the elucidation of those factors deemed influential to the success of such initiatives, as reported in the literature. However, research to date fails to demonstrate the tangible outcomes of such a planning process.

Perceived Benefits of Planning

When describing the benefits of strategic planning, much of both the business and education literature cites the indirect benefits of improved organizational processes, rather than any direct contributions toward the achievement of institutional or educational goals (Bryson, 1989; Corak & Wharton, 1992; Hearn, 1988; Lelong & Shirley, 1984; Schmidtlein & Milton, 1989). Some also discuss the value of strategic planning as a tool for organizational development (Jelinek, 1979; McCune, 1986).

While reviewing the evaluation of planning in the business literature, King (1983) determined that organizations must address a diverse range of benefits, not just the performance of the organization in areas of standard measures. In addition to

plan content and the outcomes to be measured, such assessment must include the ability of the planning system to adapt to changing circumstances and adjust its own goals, and the appropriateness of the planning goals chosen. Hatten, claiming that strategic planning has, in fact, improved management practice in business, advised that it can also enhance the management of resources in non-profits which in turn is likely to improve organizational performance (1982). Yet Mintzberg, drawing from the business literature, did not find clear links between planning and strategy formulation, or between planning and performance (1994b).

Ansoff, Bosman, and Storm claimed that strategic change occurred, or was successful, when a new strategy was installed which resulted in a change in the mix of products, markets, and technology, when management capability was more fully developed, and when a behavioral and political platform was created which institutionalizes the acceptance of new strategies (1982).

As with most systems borrowed from the business community, Chaffee asserted the effect is more residual than direct. Strategic planning would help administrators become more rational, more sensitive to the value of quantitative information, and more likely to define and act upon their priorities. The legacy of strategic planning would be an increased sensitivity to the environment, greater awareness of the competition, and more appropriate responses (1985).

Influencing Factors

Various factors influence the success of both the process of strategic planning and its outcomes. The governance and structure of higher education, organizational culture, the process itself, and implementation efforts to include operational planning can all affect planning initiatives, as addressed earlier. Leadership, participation, and resources are three additional factors recurring in the literature as identified through empirical research, derived anecdotally from self-reported case studies, or prescribed by theorists. All are cited as having a direct bearing on the outcomes of strategic planning initiatives.

Leadership. As Buller observed, virtually all literature points explicitly, or implicitly, to the central role of leadership both in the formulation and implementation of strategy (1987). The tie between planning effectiveness, and committed and visionary leadership, is premised on the need to identify the key issues facing the institution and initiate change across campus units (Schmidtlein & Milton, 1989). Lisensky, citing presidential leadership as crucial to successful strategic planning, maintained presidents must create and communicate a vision for the future, a vision which is then merged with the guiding values of the organization (1988).

According to McCune, achievement of the vision relies on persuasion and leadership rather than on authority (1986). Successful institutions, then, must use persuasion, influence, and power to resolve the inherent disparity between the qualitative nature of overall plan goals and the specificity of implementation. Leaders must have the ability to use campus politics to convert vague, value-laden goals into decisions expressed in dollars, personnel, and programs. Bridging this conflict is one of the most challenging aspects of educational planning and leadership (Donnithorne, 1991-92).

Because success in education is often achieved at the margins, successful institutions must have entrepreneurial, innovative leaders (Jellema, 1986). Millet identified commitment to planning and plan goals, effective communication, and the ability to persuade as essential dimensions of leadership (1980). Thus, effective leadership for planning and organizational change is characterized by the ability to create and communicate a vision, and the effective use of politics, to transform an organization from its current to a future state.

More specifically, leaders must have the capacity both to create and communicate the vision to organization members, to build trust through adherence to organizational values, to instill within employees a commitment to change, and to mobilize and focus the energy and resources needed to achieve the intended change (Buller, 1987). However, as Millet observed, during times of growth a president is likely to be highly successful, but in times of reduction the planning-oriented

president may be viewed as a threat and the plans developed may not engender broad community satisfaction (1980).

Although various senior administrators have tried to fill the planning vacuum of presidential ineptitude or disinterest, Millet maintained their efforts fell short of what might have been achieved with presidential leadership (1980). Others suggest that the involvement and commitment of a group of top leaders is essential to the successful implementation and outcomes of a plan (Keller, 1983; Mintzberg, 1994b).

Participation. Who participates and at what levels, from the initial planning phase through implementation and evaluation, affects the common understanding, ownership, and hence implementation, of plan goals (McCune, 1986). Many theorists advocate the involvement of key stakeholders, particularly faculty, in the planning process.

In order for planning to make a difference, it must be accepted beyond upper administration. One way to accomplish this is through participation by various stakeholders (Peterson, 1980). In a survey of campus planners, Meredith (1993) found that a widely-based participatory process was deemed very useful. In a synthesis of case studies, Schmidtlein and Milton determined that strategic visions cannot be implemented without cultivating faculty support and dealing sensitively with their concerns and fears. The implementation of decisions requires acceptance by many parties. Thus, plans that deal with academic matters necessarily require faculty initiative and acceptance to succeed (1990).

Others also claim that broad participation in the process, by faculty and governing boards, promotes cooperation and leads to the creation of a shared vision which then allows for better implementation of the plan (Adler & Lane, 1988; Steeples, 1988). As noted by Chiarelott, Reed, and Russell, although a participatory structure broadens involvement and ownership, the resulting plan will also represent compromises and the process will be more time-consuming (1991).

Planning initiatives also require different types of expertise, thus influencing who is involved in the process (Peterson, 1980). As observed by Schmidtlein and

Milton, program innovation depends on faculty initiative (1989). They found that involving faculty in campus-wide issues not only leads to a higher level of trust and confidence but the development of program initiatives in support of the intended direction of movement.

Yet, Morrison and Mecca (1989) question the importance of broad participation, noting that success in strategic planning is due less to the planning techniques and processes used and more dependent on the culture within which planning is accomplished. Based on an evaluation of multiple institutions, Stafford found that the creation, or enunciation, of strategy is made by a small group of individuals both willing and able to make decisions (1993).

Supporting this view, Dill and Helm (1988) observed that the entrepreneurial decision-making approach of strategic planning is antithetical to the academic tradition of faculty control and gradual, incremental change. In a review of six case studies of institutions involving faculty in strategic decision-making, they found that standing committees were used to deal with ongoing budgeting and planning issues and ad hoc committees or task forces were most often used for the development of program review and retrenchment strategies. Their analysis led them to argue that the level of expertise required in strategic policy-making should influence the distribution of authority and the role of faculty participation.

Schmidtlein and Milton observed that the political character of campus decision-making requires a planning process sensitive to political realities and the complexities of resolving competing interests (1989). Yet, Lutz and Arney take a pessimistic view of the possibility of change in academic institutions, largely because change requires the organization to behave differently than is the norm. Using theoretical constructs they argued that various types of stakeholder behavior all work against efforts to effect substantial change (1987).

Resources. Many theorists have argued the need to link planning with budgeting as vital to the well-being of any college or university. It is the allocation of resources which converts goals into actions with budgets serving as the formal

mechanism through which plans are operationalized (Coleman, 1986; Heydinger, 1980; Lisensky, 1988; Schmidtlein, 1989; Steeples, 1988). In a survey of campus planners, Meredith found that among the key elements in both the successes and failures of planning was the linkage of planning to budgeting (1993).

In order for strategic planning to be effective, Porter argued the chosen strategy must be translated into concrete actions through capitol spending and budget allocation (1987). Drawing on a series of case studies, Steeples cited budgeting as the most important control for ensuring the implementation of plans (1988). In practical terms, this is often not easy.

Although various scholars have prescribed the integration of planning and budgeting, the process for doing so is less clear. First and foremost, such an approach requires the commitment of administrative leaders and various constituent groups to link budget decisions with institutional goals (Bucklew & Smith, 1986). After formulating specific action steps using the strategic plan, the institution must then determine the fixed capital, working capital, operating expense, revenues, and head-count implications to form strategy-based budgets (Gray, 1989). The acquisition and allocation of resources encompasses human as well as fiscal capital.

The allocation of resources, then, is a management tool which can provide incentives for change in the desired directions. As such, the funding base should be defined in terms of financial precedents, rather than in terms of programmatic aims and priorities. To be successful in linking budgeting with planning, institutional leaders must find ways to transcend the annual budget cycle and its tendency to perpetuate what "is," rather than explore and elaborate what "ought" to be. Special-purpose allocations are one method of aiding this process (Lisensky, 1988). Incentives and reward systems are also useful tools by which to facilitate and support the implementation of plan goals (Adler & Lane, 1988; Steeples, 1988). Yet, as noted by Gray, reward systems are often designed as separate, freestanding controls which counteract, or work to destroy, strategies (1989).

Although the literature suggests that resource allocations be based on long-term, institution-wide goals and priorities, Donnithorne reported that the research shows evidence that most institutions make allocations based on assumptions about the structure of the organization and projected workloads, irrespective of plan goals (1991-92). Gray observed that planning is not congruent with budgeting models and cycles, and that the incrementalism of budgeting, in reality, allows the momentum of the past year's priorities to determine the plan, rather than the plan determining the budget (1989).

Hatten (1982) observed that the financial resources of non-profits are more widely dispersed and the myriad sources of funds severely complicate the determination of priorities. Dominance of one or another funding source, such as donations or government support, can change the character of the institution. As a result, certain specializations have been encouraged in response to available resources. Operating revenue schemes, such as tuition schedules, may not be equitable and can also subvert other purposes.

Citing four major difficulties in establishing and maintaining a planning-budget linkage, Meisinger (1989) noted that for even best-managed campuses, such linkages are not easy, due in part to the decentralized nature of higher education. First, the ever-present tension between planning and budgeting devolves from the insufficiency of resources to satisfy plans. Second, those involved in the budgeting process may, or may not, be committed to plan priorities. Third, the planning and budgeting functions are on different schedules, both in periodicity and specificity. Budgets are annual in nature whereas planning focuses on the longer term and is inherently more flexible. Fourth, planning is driven by divergent thinking and budgeting by convergent thinking.

Hearn (1988) undertook an extensive analysis of the economic issues related to strategic planning in higher education and found that budgeting and planning are not structurally integrated. Among the many barriers to using budgets effectively in change efforts are unexamined traditions, the autonomy of departments and control

over their own budgets, and the tenured nature of faculty. Consequently, quality considerations are often not integrated with financial considerations.

Schmidtlein (1990) also examined the impediments of linking planning and budgeting in higher education, noting that plans are often altered in response to cost and revenue considerations as budgets are calculated. The politics of institutional budgeting further complicates implementation; cutting budgets being an especially difficult political task. The relationship between planning and budgeting is often a complex and indirect one.

The literature suggests that effective strategic planning is constrained by many factors. Those most significant, over which an institution has some control, appear to be (a) presidential leadership, (b) failure to link the budgeting process with strategic objectives, (c) the lack of implementation due to both the absence of broad participation and operational planning, (d) incongruence between the planning process and organizational culture, and (e) lack of specific, quantifiable objectives.

Planning Outcomes

Throughout its history, little specific empirical evidence exists, either in the business or education literature, to demonstrate that strategic planning works. Various scholars remain cautious about the measurable benefits of strategic planning. Hearn (1988) found no clear indication of measurable benefits in the research, but allowed that judgements regarding success may be relative and highly contextual. Rather, strategic systems operate on the margin of institutional economies and as such, do not deliver quick, major change.

Although there are some reports of successes in the business community, the findings are not extensive. Cameron (1983) investigated the use of strategic planning in the tobacco industry, finding positive outcomes. Ansoff (1984) used research to demonstrate that strategic planning resulted in better organizational performance. Steiner (1979) reported that a number of quantitative studies documented strategic planning improves performance in areas such as sales, profit, and market share,

noting that superior performance is not a direct result of formal strategic planning but the product of an entire range of managerial capabilities. By contrast, Businessweek in an analysis of multiple companies, reported that few strategies had succeeded in the corporate community ("The New Breed," 1984).

Findings in the educational literature are often the by-product of self-reported case studies, inconsistent in focus and methodology and offering a short-term perspective. Many are anecdotal reports by a participant in the process (Steeples, 1986, 1988, 1990; Winstead, 1982a, 1982b). Among the outcomes cited in these studies are a clarification of mission, a strengthening of academic and material resources, improved academic quality, expanded ties with service area, improved academic reputation, and avoidance of bankruptcy. Keller cited numerous examples of institutions successfully responding to changing circumstances by using the principles of strategic planning, but many of these institutions did not undertake intentional planning efforts (1983). Schmidtlein and Milton (1990), summarizing the findings of five self-reported case studies, identified both substantive and process benefits. Among the substantive benefits were new missions, new programs, new services, and greater financial strength.

Meredith, Cope, and Lenning (1987) conducted research that revealed those who engaged in bona fide strategic planning were more satisfied with the process and perceived good results. They concluded that since many institutions do not actually employ such a process, they fail to reap the benefits of strategic planning.

Hearn, in an analysis of studies examining the economic effects of strategic approaches, found that certain kinds of strategic activities, undertaken in certain contexts, produced measurable effects on resource distributions and institutional health. However, beneficial effects were not usually large, and it was not clear whether strategic activity accounted for the benefits. Further, because strategic systems operate on the margin of institutional economies, they do not deliver quick, major change (1988).

More recently, Prinvale (1992) observed no predictable relationship between strategic planning and a change in financial condition in a survey of 551 private colleges and universities. In a survey of 75 research universities, Ingle found a relationship between Chaffee's planning topologies and institutional success as measured by four of Cameron's dimensions of organizational effectiveness (1991). Clugston (1987) and Hightower (1992), using case study methodology, respectively found that the level of departmental budgets was affected by planning and planning outcomes were linked to organizational purposes.

There remain arguable gaps between the merits and usefulness of strategic planning, especially since much of the evidence relies on self-reported case studies reflecting practice, not research or theory. In spite of all that has been written, there is still only limited empirical data to advance the knowledge and practice of strategic planning in education. This paucity of evidence suggests that a formal assessment of the outcomes of planning is not widely practiced, there is no agreed upon basis for evaluating planning, and the benefits of such planning are not yet known. This review of the literature provides a perspective from which to examine the long-term outcomes of strategic planning initiatives and to identify what factors which may have influenced the observed results.

CHAPTER III
METHODOLOGY

This was a non-experimental, descriptive, multiple-case study to investigate what results occurred to meet strategic planning objectives at small, four-year, private colleges and universities. The study measured changes using fiscal, enrollment, and programmatic indices, to demonstrate whether or not institutions changed in any appreciable way following the use of strategic planning, and whether there was a relationship between individual institutional plans and their respective outcomes. Techniques employed in the study included document analysis, secondary source survey data analysis, observation, and semi-structured interviews. The time period chosen, five to eight years following completion of the plan, allowed sufficient time for implementation of planning strategies and for institutional growth and transition.

Design of the Study

Descriptive research procedures were used to interpret the planning strategies for the study sample and to assess institutional outcomes using fiscal, enrollment, and programmatic indices. The case study method was used to conduct in-depth investigations of the strategies adopted, subsequent emergent strategies, and the current status of the institution with regard to its original planning goals. This approach was used to assess the comprehensive results of the planning initiative, to determine whether or not a relationship existed between the stated plan objectives and institutional outcomes in those areas, and to investigate the extent to which institutions experienced substantial change.

The long interview process, as described by McCracken (1988), was applied to this study. The interview served as a technique to obtain historical perspectives concerning the implementation of formulated strategies and factors influencing the outcomes of planning as perceived by members of the institution involved in, or observing, that process.

Qualitative research methodology and the case study approach were chosen for this investigation for several reasons. Silverman (1993) cited qualitative methods appropriate in the exploratory stages of research where there are no theoretically-based hypotheses to test. Isaac and Michael (1990) stated the case study approach lends itself to in-depth investigation of a few institutions while permitting examination of a large number of variables and conditions, resulting in a detailed, well-organized analysis of the phenomena being studied. They also noted that such an approach can provide new insights, identify important variables, and discover outcomes that may deserve more extensive attention in future research. Crowson (1987) advocated multi-site case study as a way to combine depth with breadth, thus strengthening the ability to generalize. A cross-site analysis, or synthesis of multiple case findings, offers a viable way to build theory, through induction and interpretation (Patton, 1990).

Yin (1984) defined the case study strategy as a method by which to investigate phenomena in a real-life context and in which multiple sources of evidence are used. It is this ability to use a variety of evidence and to examine, in-depth, the phenomena in question, that give the case study its strength. While the case study method is appropriate for exploratory studies, its value lies in the opportunity to explore how and why the phenomena did or did not occur. As observed by Silverman (1993), quantification alone can conceal some areas of social reality which cannot be measured by statistics.

The case study approach was chosen in order to explore, in-depth, all possible outcomes of the strategic planning initiative at several institutions. The design also allowed the researcher the flexibility to reformulate questions addressed during the course of the investigation. Finally, it permitted unanticipated questions to unfold and be examined.

Study Population

The population for this study consisted of thirty-two institutions which were awarded planning grants between 1985 and 1989 by the Consortium for the

Advancement of Private Education (CAPHE). The population was drawn from a universe of 700 private liberal arts colleges in the United States, identified by CAPHE as eligible for funding. The parameters used to define the universe were private colleges with less than 4,000 students and which possessed endowments of less than $35,000 per student.

During the period from 1985 to 1989 CAPHE made direct grants to a total of 123 colleges, on a competitive basis, in four program areas one of which was Understanding and Planning for Change. Grants in this program area were intended to help administrators and faculty understand the challenges likely to occur in the subsequent five to ten years, assess the implications of those changes for their institutions, and develop appropriate responses. Thirty-two institutions were awarded grants to fund planning initiatives. They ranged in size from 750 to 3,800 students; the average enrollment being about 2,000. Each grant spanned a two-year period.

CAPHE-funded institutions were selected for this study because (a) they represent a well-defined cohort of institutions within the entire population of post-secondary institutions; (b) they were among the earliest in higher education to embrace strategic planning, thus providing an extended time frame during which they had an opportunity to achieve the results; and (c) reporting guidelines were well-defined and consistently applied to all recipients, thereby providing relatively comparable data for each of the participating institutions.

Study Sample

The data for this investigation was obtained from a purposive, non-probability sample of five institutions. The following steps were used to select the study sample. First, CAPHE files for all thirty-two planning grant recipients were screened to determine which institutions concluded the grant cycle with the formulation of a strategic plan. For this purpose, a "strategic plan" was broadly defined as one which established institutional goals and objectives, developed in consideration of the external environment, and contained institution-wide strategies to achieve desired

outcomes. The results of this analysis indicated eight colleges were eligible for the study. Second, those institutions identified as having formal plans were contacted by CAPHE and asked to participate in the study. Five institutions indicated a willingness to participate. See Appendices A, and B for letters of invitation and confirmation.

Data Needs

The study required both quantitative and qualitative data obtained from the Integrated Postsecondary Education Data System (IPEDS) surveys, CAPHE survey forms, document and archival analysis, and interviews. Data and documents pertinent to the study cover the period from 1984 to 1994. Early document research, to identify eligible sample institutions and those subsequently chosen for the study, was conducted at the Council for the Advancement of Private Higher Education, in Washington, DC and consisted of materials contained in grant recipient files. Document and interview research for the study itself was conducted on the individual institutions.

IPEDS and CAPHE surveys, which were routinely and consistently administered to the institutions involved in this study, provided secondary source data sets. IPEDS data are gathered annually by the U. S. Department of Commerce Bureau of the Census acting as the collecting agent for the U. S. Department of Education, National Center for Education Statistics. Information is collected using multiple surveys administered to all postsecondary institutions nation-wide. With each grant cycle, CAPHE routinely required applicants to complete a detailed institutional profile. These data sheets contain multi-year comparisons of enrollment figures (number of students, status, financial need, age, and ethnicity) and retention rates; academic information (number of faculty and largest disciplines by faculty and by student enrollment) and curricular changes; and fiscal information (revenues and expenditures).

Information from IPEDS surveys were used, in combination with data collected through CAPHE surveys, to identify changes in indices measuring fiscal

status, enrollment, staffing, academic degrees, salaries, and library collections. Specific fiscal indices included sources of current fund revenues, current fund expenditures, financial aid, debt obligations, and endowment assets. Enrollment was measured by size of total student body, number of freshmen, ethnicity, and gender.

Institutional documents and archival records provided primary source data and were analyzed to determine planning goals, intended institutional strategies and action plans, and measurable outcomes as evidenced by fiscal, enrollment, and programmatic changes. Documents included institutional mission statements, college catalogs, campus planning materials (committee lists, agendas, minutes, and reports), strategic action plans, budgets, financial records, fund-raising and enrollment reports, reports to the boards of trustees, organizational charts and personnel records, accreditation self-studies, annual reports and audits, recruitment materials, alumni publications, fund raising literature, and other pertinent materials as identified throughout the course of the study.

Interviews, were focused and semi-structured. They were conducted, with permission of the participants, with the president; senior academic, financial, development, enrollment, and student services officers; faculty leaders and committee chairs, particularly those involved in the CAPHE-funded planning initiative; and appropriate administrative staff to include the CAPHE project director, if still at the institution.

Data Collection

Three basic means were used to gather information for this study: 1) Analysis of IPEDS and CAPHE survey data. 2) a review of campus documents and records pertaining to the strategic planning initiative and subsequent results, 3) semi-structured, focused interviews conducted with campus administrators, faculty members, and other stakeholders involved in the planning effort, or in a position to assess its effects. IPEDS data were obtained from each of the sample institutions. Data items pertinent to this study, as specified above, were analyzed to obtain

evidence in support of the research questions. CAPHE survey data were obtained from institutional files in CAPHE offices in Washington, DC. The data gathered through the examination of documents, reports and publications were obtained directly from subject institutions. Some of these materials were requested for review prior to the campus visit and others reviewed during the visit. Individual interviews were recorded by means of written notes and audio-tape recordings, with permission of the participants, so that all information obtained could be retrieved.

Following selection of the five sample institutions, a campus liaison was identified. Each was contacted with a request for the types of documents and materials needed, and a list of people to be interviewed. Arrangements were made in cooperation with the campus liaison, and visits conducted over a four-day period. Appendix C outlines the Campus Visit Protocol and the Interview Protocol is found in Appendix D.

These data gathering procedures were selected for several reasons. First, the use of the IPEDS and CAPHE data sets provided consistent data for fiscal and enrollment measures. Second, the use of campus documents and records provided both quantitative data as well as qualitative information about the goals and outcomes of planning initiatives in all areas. Third, semi-structured interviews permitted in-depth analyses of planning motives, outcomes, and numerous variables which may have influenced the various stages of the process. Finally, these multiple procedures collectively provided the most comprehensive set of data about the phenomena under investigation, and afforded a means for cross-checking information.

Issues of Reliability and Validity

The multiple-case study strategy was used in an attempt to strengthen the study and its findings. To establish external validity, the case study method relies on analytical generalization. Yin (1984) stated that while case studies are not generalizable to populations or universes, they are generalizable to theoretical propositions. The goal is not to enumerate frequencies, but to generalize theories (in

this case the concept that institutions change as a result of strategic planning). Reliability is established, in part, through the logic of theoretical replication. This can be achieved by using multiple cases which are purposely selected according to criteria consistently applied. Reliability is further established through full documentation of the case study protocol and the development of the case study data base.

Construct validity has been addressed, drawing from the literature, through the operational definition for institutional success as measured by indices for financial condition, enrollment patterns, and programmatic changes in the areas specified by individual plan goals.

Method of Analysis

Data collected were analyzed using both quantitative and qualitative methods. Quantitative data were analyzed using descriptive statistics. Several methods were used to analyze qualitative data. An analysis of IPEDS, financial, and enrollment reports and survey forms was conducted using descriptive statistics to evaluate fiscal, enrollment, and programmatic changes, and outcomes were quantified. Analysis of interview data and textual documents identified thematic categories, drawn from the literature, and established patterns to interpret the purposes and nature of planning, institutional focus and strategies, the nature of programmatic changes, the method of implementation, and factors influencing the outcomes. Findings were triangulated to the extent possible given the available date. Appendix E provides an outline of the methodological framework for this analysis.

Data from all five case studies were examined to identify trends and commonalities. To the extent possible, data were standardized by means of common categories and common reporting formats for the purposes of cross-site comparisons. See Appendix F for the methodological framework for cross-site analysis.

Summary

The design of this study was descriptive and multiple-case study research using survey, document, and interview data. The sample consisted of five institutions purposely selected from a population of thirty-two institutions awarded CAPHE planning grants. The survey data were drawn from the annually updated IPEDS reports and CAPHE survey forms. Documents and archival records analyzed were those obtained from the individual institutions at which on-site visits were conducted. Interview data were collected from members of each of the college communities visited.

CHAPTER IV
RESEARCH FINDINGS
INDIVIDUAL CASE ANALYSES

The purpose of this study was to identify what changes occurred over the long-term (four to eight years) following the conclusion of a strategic planning initiative, and to assess the relationship of these changes to formulated goals and strategies. Further, the study sought to determine if there were outcomes of emergent strategies which contributed to the overall observed results.

The purpose of this chapter is to display, in a narrative form, information on each of the five institutions as obtained from multiple data sources. Each college is described in a separate section of the chapter with the data for each analyzed according to the following methodological framework: (a) A description of the setting and institutional profile introducing each case; (b) an outline of the CAPHE-funded planning process including timetable, structure, participants, and other key elements and, where appropriate, of subsequent planning efforts; (c) a synopsis of the strategic plan document and of any emergent strategies identified in the research; (d) the outcomes observed, organized according the major objectives as specified in the strategic plan of each institution, with the addition of categories for enrollment and financial affairs if these were not included in the plan document; (e) a review of implementation procedures including oversight responsibility, operational plans, and resource allocations; and (f) the identification of key factors influencing the observed results, such as presidential leadership and constituent participation. The methodological framework is more fully outlined in Appendix E.

There were extensive sources of evidence, as seen in Appendix G, which provided in-depth information about each institution. Document analysis, interview data, direct observation, and quantitative survey data collectively served to strengthen the findings about strategic planning outcomes.

College A

Setting and Institutional Profile

College A is a four-year, co-educational, undergraduate liberal arts college with an approximate enrollment of 2,800 students. It maintains a close affiliation with the church of its founding. The college is located in a small community in the upper Midwest which can be characterized as conservative, traditional in values, and community oriented. Although rural in appearance, the region is marked by a considerable number of major industries. In spite of the latter, there was a sense of detachment and insulation from the larger social issues of our time. The college conveys a sense of civility and order, students are polite and cordial, and the campus is clean and well-kept. Facilities are attractive, most have been recently refurbished, and interior furnishings appear current and of high quality.

College A has been strongly influenced by and remains firmly committed to its Christian tradition. Ethics, values, and moral conduct are important. Memoranda, editorials in the student newspaper, and alumni publications contain references to religious principles and biblical teachings. The chapel figures prominently both in its physical presence and programmatically. Capital campaign priorities, and the literature describing them, are explicitly tied to the Christian heritage of the college.

The campus also exudes a strong work ethic as evidenced through observations, interviews, and documents. Staff and faculty office hours, teaching loads (4, 4), advising expectations, student-faculty research projects, committee and governance service commitments, and expected participation in campus activities all indicate a no-nonsense approach to work.

The campus bookstore gave further evidence to the seriousness of academic purpose and Christian influence. In addition to textbooks, the store was well stocked with books on a wide range of topics with a considerable emphasis on religion, theology, philosophy, and faculty authors. Little space was devoted to supplies, sundries, or non-academic merchandize.

Academic programs, resources, and facilities all appeared of high quality as measured by faculty credentials, departmental accreditation, student honors, graduate school placements, library resources, and the amount and relative currency of academic equipment. Yet, there was no aura of elitism evident in the interviews or the publications and memoranda reviewed.

Corroborating the insular nature of the institution, faculty discussions and comments indicated they concentrated on what they felt students need to learn, with little or no consideration of student needs and concerns. Most conveyed a sense that they knew best. Further, their attitudes toward diversity were, in practice, narrowly defined. Drug and alcohol abuse, sexual mores, homosexuality, racial and gender discrimination, and similar issues seemed irrelevant or largely ignored based on interview data and student publications.

Everyone seemed motivated, both to do one's own job and to assist the institution to succeed, but there was no sense of "urgency" about the future. This may be due to the absence of serious problems, or a lack of awareness about external realities.

This is also a caring place. Students, faculty, and staff were observed being attentive to one another's concerns. As some faculty noted, conflicts and disagreements occurred, but they were approached with fairness and respect. Those interviewed expressed much praise for each other, and people genuinely believe that this is a good college.

As an organization, the institution is highly rational, hierarchical, and disciplined. This was evidenced in the site-visit preparation, the physical set-up and operation of administrative offices, the nature of the strategic planning process, the way in which the interviewees described one another, and in institutional and departmental decision-making processes. At the same time, physical office environments reflected an element of openness and honesty. Glass interior walls, common reception areas for multiple administrative and faculty offices, and the close proximity of most senior staff all seem to work against anonymity and distrust.

The administration is predominately white, male, middle-age or older, and alumni or graduates of like-denominational colleges. The effect is one of homogeneity, a deep commitment to the institution and its traditional culture, and in many respects a high level of comfort with the status quo. While the institution may have confronted some of the thornier social and moral issues on a theoretical level, it does not appear to have widely done so on a practical level. More specific to the strategic plan of College A, sensitivity to gender and multicultural issues was not readily evident.

Planning Process

A strategic planning process was initiated in 1986, soon after the arrival of a new president, and was concluded in 1990. Perceptions about the purpose of this activity varied among those interviewed. The president indicated that the planning process provided a way to learn more fully about the institution and served as a means by which to develop the agenda for his presidency. Faculty, especially, saw the process principally as a vehicle for setting capital campaign objectives. Others viewed it as a means by which a new president could learn about the institution, hear the collective wisdom of its members, and bring the community together to establish a shared vision. Some saw both of these objectives being served with a few observing that setting campaign priorities may simply have been the pragmatic outcome of this endeavor.

The President clearly felt the need to set an agenda for where the college should be headed, which required greater knowledge and familiarity with the institution. He was also cognizant of the need for another campaign. The evidence suggested that he used strategic planning as the vehicle for addressing, and integrating, both of these issues.

At the time strategic planning was initiated, neither the quantitative data, written documents, nor interview data suggest that the college faced any crises or severe problems. By all accounts, the institution appeared to have been in solid

financial and enrollment health. Enrollments and finances had been consistently stable over the past several decades as documented by IPEDS data, financial reports, and alumni publications. Those interviewed repeatedly confirmed this condition of stability.

Fiscal records, college catalogs, and published annual reports provided strong evidence that prior to the planning initiative there was extensive new construction, and numerous renovations and improvements made to existing facilities. Further, the college had enjoyed a solid tradition of alumni annual fund giving, but not for endowment purposes. The 1984-85 and 1985-86 Annual Reports lauded the success of the capital campaign in progress at that time. Both described improvements in campus facilities, the centerpiece of which was a new library. The 1986-87 Report summarized the campaign results, reporting $31 million was raised, and noted that institutional budgets had been consistently balanced for two decades. Up through the 1986-87 Report, the emphasis was on campus development. With the 1988-89 Report, however, there was a clear shift to academic excellence and fidelity to the Christian tradition of the college as the prominent issues for the years ahead.

Throughout the years there had been a high degree of stability and continuity in staff, especially at senior levels. In addition, there was a high level of overall satisfaction among the faculty and a strong sense of security. All interviewees indicated that the college, while under-endowed and enrollment-driven, was fiscally sound. Yet, as one interviewee recalled, it was generally understood that it would be difficult to maintain the status quo with its existing resources, and some worried about the dire predictions for changing student demographics. None the less, there was almost a lack of concern about the institution's stability or future prospects, due in part, to an implicit faith in the invulnerability of what all those interviewed considered a fine institution.

The strategic planning process was formally chaired and directed by a member of the faculty with expertise in that field. The structure consisted of a steering committee and twelve task forces, each deliberating a specific issue. The planning

process itself was highly structured, formal, and well-documented. Steering committee and task force roles and assignments were clearly defined, timetables were set and adhered to, and process outcomes defined. A review of the materials used to educate participants and direct the activity indicated a well-managed process guided by the business, rather than education, literature.

Each of the twelve task forces involved a large number and broad range of institutional stakeholders. The 125 participants included faculty, administrators, students, alumni, trustees, and members of the local community. The president appeared committed to the planning process, and was actively involved throughout, but assumed a more prominent role as the steering committee began to grapple with the myriad recommendations made by the various task forces. It was under his leadership that the committee drew together and synthesized the various ideas which resulted in the final plan.

There was little evidence in the written record that the planning initiative was informed or guided by any substantive, formal scanning of the external environment or an attempt to match external opportunities with internal strengths. This finding was neither confirmed nor contradicted by interviewees' recollections of the process. The faculty chair stated he had no knowledge of the kind or amount of data used by the different task forces. A few of those involved in the process recalled that external factors, specifically the need for high quality students and additional funds, were always evident. A review of the twelve task force reports revealed that only one, that addressing multiculturalism and diversity, seemed to consider the impact of demographic trend data with recommendations for change formulated accordingly. The other eleven reports used past internal practices as the framework by which their recommendations for future activity were guided. In many areas, this lack of external orientation continues today. While a thorough process in other regards, this key principle of assessing both the external and internal environments appeared absent.

Once the task forces completed their work, reports were forwarded to the steering committee. Significant portions, but not all, of these reports were

incorporated into the final plan. Interviews revealed a lack of clarity about the difference between the twelve task force reports and the final strategic plan. Most faculty involved in the process recalled the task force reports as specific plan documents, whereas the steering committee drew selectively from these, embracing some recommendations and discarding others. Thus the yardstick used by task force members for measuring goal achievement differed from that of the steering committee and those who ultimately bore responsibility for implementation of the plan. There was no evidence in the documentation, nor did those interviewed recall what, if any, communication occurred between the steering committee and task force members as to the rationale and selection of some, but not all, recommendations. Most faculty consider their task force reports and the strategic plan as synonymous and did not seem aware of the differences between the two.

The Plan

A written plan was formally presented to the college community in the spring of 1990. A substantial document, it set forth the core strategies, specific recommendations for action, and cost projections.

Three overarching themes transcended the entire plan: tradition, excellence, and diversity. These were articulated and defined at the outset of the document and might be considered the key initiatives of the plan. Implicit in the theme of tradition was the firm commitment of this college to its Christian heritage. Excellence explicitly focused on the academic program. Diversity encompassed both the composition of the faculty and student body as well as programs to sensitize the community to differences in cultural traditions.

The plan set forth eight core "strategies" or categories of goals:

1. Enhance the academic program.
2. Strengthen the College's Christian commitment.
3. Improve faculty recruitment, development, and retention.
4. Reinforce the admissions and financial aid programs.

5. Enhance the quality of student life.
6. Continue campus development at a measured pace.
7. Enhance community service and community relations.
8. Assure the financial strength of the College.

(President's Report to the Board of Trustees, March, 1990)

Each strategy was explicated with a series of specific recommendations for action and tactics by which they were to be achieved. The plan also projected the costs of implementing these initiatives and the endowment needed to generate the necessary operating revenues. The themes of tradition, excellence and diversity were evident throughout the eight initiatives.

While the plan was formal, rational, and detailed in its presentation of institutional goals and objectives, it provided no referential benchmarks against which to judge progress toward the expressed objectives. The language used included terms such as enhance, improve, develop, encourage, offer, insure, and increase. Although the document looked more like an operating plan in its level of detail, it lacked timetables and specific, quantifiable targets.

Results

There was general consensus among those interviewed that academic excellence was the overarching theme of the plan, an emphasis which continues to guide the institution today. The focus on excellence included a strengthening of academic programs, enhancements to academic equipment and library resources, improvements in the quality of the faculty, funding for faculty research and development, expanded support for collaborative research between students and faculty, and a more academically talented student body. Yet many of those interviewed cited the religious life of the college as the area most strengthened by the plan and subsequent campaign. This fidelity to the Christian tradition of the college was manifested through the appointment of a Dean of the Chapel, additional staffing,

and expanded programming. One might describe the implicit vision of the plan as "academic excellence in the context of the Christian faith."

The plan and its projected costs did become the template for a $50 million capital campaign which was concluded in fiscal year 1994 (FY94), having reached $58.1 million. The campaign case statement, drawing from the strategic plan, described the president's vision for the college as striving to be a recognized leader among America's finest liberal arts colleges, and a leader among the nation's Christian institutions. Somewhat contrary to the official plan document, however, the campaign literature outlined the following four strategic initiatives as the priorities set by the Board of Trustees: (a) enhancing the academic program, (b) strengthening Christian life and witness, (c) strengthening financial aid, and (d) improving campus facilities. Further, the development staff recast the language describing these priorities using far stronger references to the Christian character of the college.

In the four years following adoption of the strategic plan, the college made remarkable progress toward achievement of the goals set forth in that document.

Academic Program. Enhancement of the academic program was to be achieved through a strengthening of academic departments, expanded experiential learning, a broader international emphasis, increased sensitivity to minority cultures and issues, and strengthened library holdings and services. Most of those interviewed felt the academic quality and reputation of the college improved in substantial ways, and there was good evidence to support this view.

Improving the quality of academic departments became a major initiative. During the planning process, at the request of the academic program task force, the Provost and Deans began a process of evaluating departments using criteria such as faculty, facilities and equipment, scholarly and creative activities, and currency of the curriculum with the discipline. Several memoranda outlined this process and its results. Departments were ranked, with input from the respective chair and dean, as good, strong, or exemplary, and resources and program enhancements were identified to maintain and improve each department. In subsequent years specific departments

were targeted for upgrading, and efforts to engage outside reviewers to assist with the project were in progress.

Accreditation by various professional associations also verified program quality. The 1985-86 catalog listed accreditation by five such organizations. By 1989-90 that number had grown to seven, where it remains today. With the accreditation of the Dance program in 1989, all four departments in the Fine Arts division were accredited by the appropriate national, professional accrediting agency making the college one of only 12 institutions in the country with this distinction.

As another measure of excellence, various publications reported numerous grants from major national foundations for academic programs and equipment, faculty research and scholarship, enhanced facilities, and outreach efforts - all of which served to improve overall program quality. The natural sciences, long viewed by many at the college as the flagship of the academic program was reported in the 1993 Self Study as "highly rated" in grants received, faculty publications, ratings by professional and accrediting agencies, and awards. Although many believed the science division received a disproportionate amount of resources, this was not born out by an analysis of departmental instructional budgets. Evidence did show, however, that the natural sciences received a significant portion of corporate and foundation grants for equipment and research.

Instructional budgets were reviewed for FY85 through FY94 and the top five departments, in terms of allocations, identified. The English department ranked first in the level of funding for nine of the ten years. Economics ranked second for each of the last two years and was among the top five for six of the ten years. Biology and Chemistry had the third and fourth largest budgets during most of the decade with Chemistry ranking among the top five all ten years and Biology for eight of those years. Modern and Classical Languages ranked in the top five each of the last six years, falling out of second place as Economics moved up. Physical Education ranked in top 5 from FY85 through FY88, as did Music from FY85 through FY89 and again in FY92.

The ranking of departments by budget did not fully correspond to a similar ranking based on the number of majors graduated by each. From FY84 through FY92, IPEDS data showed that the Economics department graduated almost twice as many majors as any other department. Biology ranked second in the number of majors for seven of the last nine years. The English department graduated the third largest number of majors, followed closely by Psychology, Chemistry and Modern and Classical Languages.

There was also considerable evidence of faculty productivity, another quality measure, in the form of research, publications, awards, fellowships, and honors. The 1993 Self Study included a list for 1991 alone of 35 recognition and research awards totaling $2.4 million plus an additional multi-college project grant of $1.4 million. Annual reports were heavy with examples of faculty honors, student achievements, and faculty-student research projects. Annual Reports for 1992, 1993, and 1994 listed faculty research awards and stipends from NIH, NEH, and the Dreyfus Fund; selections as national professor of the year, state professor of the year, national professor of the year in music; and various other awards and citations by professional associations. These faculty distinctions reflected positively on the quality of the academic program and reputation of the institution.

Although budget allocations were not referenced in the plan, expenditures for instruction and academic purposes indicated a diminution of resources in the late 1980s, followed by sizable increases in the 1990s. According to IPEDS data, the total Education and General (E and G) budget grew 100.8 percent from $21,529,452 to $42,232,267 between FY85 and FY94. Expenditures for instructional purposes showed a comparable rate of increase of 106.7 percent. Instruction constituted 30.7 percent of all E and G expenditures in FY85 and 31.6 percent in FY94. However, there was significant variability during this period, with the ratio falling to a low of 23 percent in FY88. Sizable increases occurred beginning in FY91 bringing these expenditures back up to the previous level. A similar trend occurred in the area of academic support, which represented 9 and 9.1 percent of E and G expenditures in

FY85 and FY94 respectively. Alhough the ratio dropped to low of 7 percent in FY89, the decline for this area may not have been as substantial due, in part, to increased allocations for the new library.

Academic program budgets did not show any major shifts in funding either prior to or following the plan, with two exceptions. In 1992-93, a position was added in Economics and Business following a campaign gift to create an endowed chair in that department. The instructional budget also reflected the addition of a new program in Japan. Although budget line items fluctuated between FY85 and FY94, there was little evidence of any significant reallocation of resources to meet strategic planning objectives. Budget Notes indicated that most changes were due to costs of goods and services, personnel leaves and replacements, minor shifts in part-time faculty and staff positions, and some movement of program responsibilities from one department to another.

Efforts to emphasize experiential learning across the disciplines focused most heavily on expanded student-faculty research opportunities and internships. The natural science division had long provided such experiences for its students. With the strategic plan, other divisions were encouraged to strive toward similar levels of student-faculty collaboration. Those interviewed suggested that the extent of this activity was impressive and the 1993 Self Study documented numerous ways in which all departments worked toward this objective. However, many faculty cited the need for additional funding in order to make more substantive progress.

Student research opportunities and internships were expanded across the curriculum in various ways, with the natural sciences serving as a model for such endeavors. A social science research center, established in 1990, provided students with increased opportunities for collaborative work with faculty and for community-based research projects. An Historical Studies Institute was established providing similar opportunities. In addition, all disciplines were said to be regularly reviewed by the Provost and Deans to determine the extent to which such activities were evident and how opportunities might be created. This emphasis on student-faculty

research was also used in recruitment literature to distinguish the college from its competitors.

The extent to which student-faculty research was possible depended both on funding and teaching loads, and the college was heavily reliant on external funding for this purpose. Although the sciences continued receiving significant grants for such activities, from NSF, the Council on Undergraduate Research, and the Hughes Foundation among others, similar funding was not forthcoming in other divisions. Faculty members sought an adjustment in teaching loads as another means of making student-faculty collaboration more feasible, arguing that course demands impacted the amount of research and scholarship pursued. The issue, while unresolved, was being addressed as part of the curriculum review underway.

Regarding funds for faculty development and research, budget records were inadequate to assess changes in this area. The instructional budget contained a line item titled Academic Research and Development, but it was unclear whether these funds were used for student-faculty research, faculty development initiatives, or other activities. The total amount budgeted for this item decreased 78 percent, from $3,426 in FY 85 to $752 in FY94. However, another line item titled Faculty Development Grants, increased by 287 percent from $47,800 in FY85 to $185,114 in FY94.

As part of the academic excellence initiative, the college also sought to "become aggressively international" through foreign faculty exchanges, increased foreign student enrollment, the addition of another program in Japan, more opportunities for study abroad, and increased grants for faculty research. Academic catalogs, annual reports, and special flyers all provided evidence that the options for study abroad expanded considerably.

The college, as a member of a several consortia, increased the number and range of off-campus offerings from 25 programs in 1985-86 to 54 programs in 1994-95, of which 47 were programs abroad. Catalogs and budget reports showed that since 1990, another college-run program in Japan was launched, in fulfillment of plan objectives, while two European programs were dropped.

In keeping with plan objectives, the total number of foreign students also rose. In FY86 there were 66, or 2.6 percent, foreign students among the entire student body as reported in the 1993 Self Study. That figure rose to 96 students in FY92 representing 3.5 percent of the student body. The number of new foreign students rose from 54 in FY86 to 82 in FY94. Although the number of international students increased, the monies budgeted for international recruitment actually decreased by 30% from FY90 to FY95.

In other areas, the 1991-92 Annual Report cited the establishment of a new exchange program designed to bring Russian students to study at the college, and the 1993-94 Report cited a new faculty exchange program with a Japanese university. However, the college had long had a Director of International Education and institutional budgets showed only a modest nine percent increase in that area over the last six years.

While opportunities for study abroad and the number of foreign students definitely increased, neither college publications, admissions literature, nor interviews indicated a wide-spread commitment to the development of a greater international perspective in the curriculum or co-curricular activities. The 1993 Progress Report noted that the college decided to focus on expanding student opportunities for study abroad, but it did not indicate who or how this decision was made. Although the college evidenced some progress in this area, it did not become aggressively international as outlined in the strategic plan.

Efforts to make the educational program more sensitive to minority issues encompassed a range of initiatives. There was some success in obtaining grants for minority student summer research projects. These, however, seemed more supportive of student-faculty research initiatives than a focus on multiculturalism. There were also several new outreach programs to the neighboring educational community, some of which targeted minority populations. The 1993 Progress Report noted that no funds were designated for multicultural learning and many initiatives were still under discussion. A number of efforts cited in the 1993 Self Study, such as the Office of

Multicultural Life and the Upward Bound program, were in place prior to the strategic plan. Others, such as summer research opportunities for minority high school students, minority scholarship programs, and establishment of a liaison with an historically black college were implemented subsequent to the plan. Various other documents and interview data provided no evidence of additional efforts.

Library resources and services were identified as another vehicle by which the academic program could be enhanced. The library, constructed at the conclusion of the previous capital campaign, was a modern, state-of-the-art facility combining extensive information technology and physical resources in a pleasing and commodious environment. Although the researcher did not seek to determine the existence of a comprehensive plan for development of the collection, IPEDS data provided information about changes in this area. Library expenditures as well as the size of the collection increased markedly. Total operating expenditures for the library rose from $668,104 in FY85 to $1,393,698 in FY94, a net increase of 108.6 percent, which was a slightly higher rate of increase than that of the overall E and G budget. Expenditures for print and serial collections rose $192,048, or 69.9 percent, during this same period. The number of volumes increased 32.4 percent, government documents 39.4 percent, and serial subscriptions 15.9 percent.

The plan document called for an additional $600,000 for library operations, or $10 million in new endowment. Various college publications indicated that several library-related projects were among the priorities for the capital campaign, including $2.4 million to match a $600,000 NEH endowment challenge grant to enhance library collections and staffing. There was, however, no concrete evidence as to the success of these efforts. The 1993 Self Study stated that the NEH challenge grant, received in 1990, was intended to redress weaknesses in the Humanities collections. The report also indicated that the spiraling costs of periodicals, particularly in the natural sciences, negatively affected growth of the collections.

Library staffing levels increased substantially from 21.5 full-time equivalents (FTEs) in FY85 to 36.95 FTEs in FY94, an increase of 71.9 percent. While the

majority of this growth consisted of increases in the number of student workers, the number of non-student staff also rose, from 12.6 FTEs to 15.55 FTEs, due principally to an increase in the number of professional librarians from 3.7 FTEs to 6.75 FTEs. It may be inferred that these increases were intended to address the objectives of processing increased acquisitions and providing increased reference services.

Several visits to the library revealed a well-used facility. The 1993 Self Study indicated that both circulation and reference service requests increased substantially during the preceding five year period. The expansion of information technology was also cited, both by faculty and the Self Study document, as a key area of growth with more material available via CD-Rom, remote access, and on-line periodical indexes.

Finally, although not explicitly stated in the plan, those interviewed indicated that academic quality also came to be measured by student honors, recognition, and achievements. Since 1987, the college boasts one Rhodes Scholar and 4 Marshall Scholars. Students were also chosen for the Pew Young Scholars program, NSF fellowships, and as members of the 1990 and 1994 USA Today college academic teams. Interview data and successive issues of the Annual Report disclosed that students served as co-presenters of papers at professional meetings and co-authored articles published in professional journals. Admissions literature stressed undergraduate research opportunities, the extent of post-college preparation, and the high level of professional school placements.

Christian Commitment. The Christian character of the college was strengthened in several very specific ways. The plan outlined efforts to promote scholarship on matters of faith through research grants for faculty, conferences, and public proceedings; a closer working relationship with the church; and a stronger campus spiritual life. Results were most pronounced in the latter area.

During 1994 a new position, Dean of the Chapel, was created and funded through a major endowment gift. In addition to the new Dean, two new full-time chaplains were appointed, outreach efforts expanded, and changes in programming

made resulting in substantially increased chapel attendance. These changes, repeatedly mentioned during interviews, were substantiated in the 1993-94 Annual Report and a 1995 letter from the president to alumni and friends. Although figures varied, all of those interviewed indicated that prior year attendance at weekday chapel services averaged no more than fifty students, whereas services during the 1994-95 year were regularly attended by several hundred students and more.

The 1993 Self Study referred to the availability of a variety of programs including prayer groups, bible study, regular weekday services, and counseling. Admissions literature for 1994-95 stated that the college was resolved to provide students with the resources necessary to grow spiritually. It identified opportunities for involvement in organizations such as the Fellowship of Christian Athletes, Inter-Varsity Christian Fellowship, Union of Catholic Students, and the Young Life Leadership Training Group. Finally, the 1990 Student Affairs Statement of Direction explicitly stated its commitment to working in the context of the "historic Christian faith." Statements throughout a variety of publications indicated that the commitment to faith was expressed through the curriculum, opportunities for worship, and community service. Admissions literature addressed the importance of Judeo-Christian values, the relationship of faith and learning, and community life and its responsibilities.

Results in the areas of Christian scholarship and a strengthened relationship between the college and its founding church were not as well-documented. The 1989-90 Annual Report listed a $250,000 grant for new faculty programs, research, and curriculum development relative to the Christian faith. The 1990-91 Annual Report noted that the college held its first Faith and Learning Conference, also funded through a foundation grant. These and other annual reports also cited numerous examples of missionary and outreach work by students. Yet several of those interviewed indicated that student volunteerism and community service were areas that could be much improved, and that recruitment efforts through the churches were not successful.

The strengthened commitment to Christian heritage also manifested itself in the faculty hiring policy, an area not addressed by the plan but one strongly influenced by the significance of the strategy in general. Although no written documentation was obtained, those interviewed repeatedly commented on recent board action that all new faculty must be of the Christian faith. This exclusion of non-Christians, when juxtaposed with efforts to become more diverse and achieve academic excellence, led to considerable debate among the faculty and administration.

The recent fund raising campaign sought to raise $3.2 million in direct support for the religious life program, and an additional $5 million in related scholarship funds. While the college received several substantial gifts as already noted, the total amount raised for this purpose was not available.

For many of those interviewed, it was this area that was most visibly changed by strategic planning. As one administrator observed, changes occurred principally because of a substantial gift to the endowment and pressure by the board of trustees. Yet it was this area which also generated the most debate. Some questioned the contemporary nature of chapel services, others debated the hiring policy, and several conceded that the college would struggle to remain distinctive with regard to its Christian mission.

Faculty. Efforts in this area focused on faculty recruitment, development, and retention with specific initiatives to establish 10 endowed chairs for senior faculty and 10 research chairs, enhance salaries and compensation, increase the number of women and minorities, and provide greater flexibility in teaching loads and professional obligations. The goal of 10 endowed and 10 research chairs was central to the subsequent capital campaign. Although funds were raised for this purpose, the exact amount or number of chairs funded was not clear. The 1993-94 Annual Report, which summarized the campaign results, listed one new endowed chair, ten endowed professorships, and the Dean of the Chapel position. Budget records and interviews indicated that at least two of the professorships existed prior to the plan but that the chair in Economics was , indeed, secured during the campaign. The 1993 Progress

Report noted that four endowed chairs had been added, but did not identify them. While any number of new endowed chairs were undoubtedly a valuable addition, the evidence suggested that the college fell far short of its goal in this area.

The total size of the full-time faculty grew by 15 percent between FY88 and FY94, from 157 to 181, with nearly all the growth occurring during the last two years. The number of tenured faculty was capped at a comfortable 67 percent.

Faculty salaries increased 91 percent over the ten year period from FY85 to FY94. However, the largest increases occurred during the five years prior to the strategic plan and the year immediately following. The college regularly compared itself to peer institutions, and in the 1995 Report to the Business and Finance Committee, the college ranked fifth in total faculty compensation among a group of fifteen similar institutions. Various administrators cited good progress in this area, but faculty perceived little improvement. No evidence was sought concerning benefits and other compensation issues.

The college made some strides in its goal to increase the number of women in the faculty and upper-level staff. IPEDS data showed that the total number of female faculty members rose by 60 percent from 33 to 53, during the period from FY88 to FY94, with the total number of women among the faculty increasing from 21 percent to 31 percent. The change was even more significant among tenured faculty. During this period, the total number of tenured faculty grew by 13 percent from 99 to 112. A review of this growth showed that two of these were male and the remaining 11 were women, representing an 85 percent increase in the number of tenured female faculty. While less dramatic, there was also a substantial increase at the rank of full professor. The total number of faculty with the rank of professor grew by 28 percent, from 54 to 69. The number of male professors grew from 51 to 60, an increase of 18 percent; while the number of women tripled from 3 to 9, an increase of 200 percent.

Progress was also made in the recruitment of minority faculty members. The number of minority faculty, although very small, increased favorably from 5 in FY91

to 9 in FY94. Minority representation among both faculty and staff grew from 5 in FY86 to 15 in FY92. While some saw this as an area of importance, others did not. Several of those interviewed noted that any progress in this area was largely due to pressure by the administration.

Faculty teaching loads did not appear to change. However, the issue was under discussion as part of an institution-wide curriculum review process underway. A conversion from five, three-credit courses per semester to four, four-credit courses would reduce the number of courses offered per term, thus lessening faculty teaching loads. Such a change, if approved, was considered a viable solution to this issue.

In a 1989 memoranda to departments and the academic task force, the Provost addressed the need to balance the teaching and scholarship expectations of faculty, but no evidence was obtained to indicate what, if any, steps were taken to do so. The re-accreditation team observed that the balance differed by division and evidence previously cited suggested the college valued faculty achievement and performance outside the classroom. The 1993 Self Study Report included an extensive listing of faculty activities in the areas of research, performances and exhibits, publications, and honors and awards; demonstrating a high level of productivity. A periodic in-house publication for faculty in the Arts and Humanities provided extensive information on research grants, fellowships, undergraduate contests, awards, institutes, professional conferences and activities, and recent and upcoming faculty activities; and encouraged faculty to pursue these opportunities.

Concerns were expressed, both in the interviews and the 1993 Self Study, about the need for increased grant funds and reduced teaching loads to allow faculty sufficient time and resources to conduct research and collaborate with students. None the less, by all accounts, faculty were actively engaged in their professional disciplines and the college both supported and honored these achievements. This support of scholarship, for both faculty and students, was especially notable for a small, liberal arts college dedicated to undergraduate teaching.

Admissions and Financial Aid. Initiatives to reinforce the admissions and financial aid programs were very successful, albeit not fully in ways outlined in the plan. Enrollment grew at a modest but continuous rate, the student body became slightly more diverse and academically talented, and support for the financial aid program grew substantially. College A was in a position to be envied by many small, private, liberal arts institutions.

For the period from 1985 through 1994, IPEDS data and Registrar and Admissions Office reports showed that total head count rose 12 percent from 2,522 to 2,825 with the number of FTEs increasing by 18.8 percent, from 2,237 to 2,657. Freshman enrollment also grew steadily from 546 in FY85 to 679 in FY94, an increase of 24.4 percent. The number of transfer student increased 26.6 percent from 79 to 100 for the same period. Although the number of applications fluctuated from year to year, they too demonstrated an overall pattern of growth, rising 31 percent over the ten year period. The percent of those admitted remained consistent, yet the quality of the pool appeared to have improved based on the entering student profile.

However, the data also revealed that both applications and the number of enrolling students dropped for one year, in 1991. This drop, according to admissions personnel, spurred the growth of merit scholarships in an attempt to compete more effectively with in-state public institutions.

In addition to consistent enrollment increases, there was also a modest improvement in the academic profile of entering students. The 1993 Self Study indicated that the average high school grade point average rose from 3.34 in 1988 to 3.42 in 1992, while the range of SAT scores for the middle 50 percent moved from 910-1190 in 1989, to 950-1190 in 1992. The perception among faculty and staff was that current students were more able and serious than their predecessors, a view supported by recent student successes in the Rhodes and Marshall scholarship competitions.

Freshman class data, as reported in the 1993 Self Study, indicated that 15, or 2.47 percent of the 1988 entering class, were minority students. By 1992 the number

had doubled to 31, constituting 4.7 percent of the entering class. In 1988 there were 88 minority students among the total student body; in 1992 there were 124. This represented an increase from 3.1 to 4.5 percent. IPEDS data for 1994 showed that 92 percent of the full-time students were caucasian, 3 percent foreign, and the remaining 5 percent represented various racial and ethnic groups. Although the number of minority students remained small, these figures indicated progress was made in efforts to diversity the student body.

An analysis of students' geographic origins showed no substantial variations between 1985 and 1994. Three fourths of the students came from within the state and 90 percent from the larger Midwest region. Interviews indicated that at one time the college drew half its student population from out-of-state, but that the balance shifted as enrollment grew with the increase in students coming primarily from in-state. Any efforts undertaken to broaden the geographic diversity of the student population did not succeed. Those interviewed attributed enrollment increases to good staff work, the campus climate, the academic reputation of the college, and external factors such as economic climate and the condition of in-state public higher education.

Five-year cohort retention rates, as documented in the Retention and Graduation Rates Report, showed a slight drop, from 71.7 to 69.3 percent, for classes entering 1985 through 1989. According to several of those interviewed, the responsibility for retention was diffused among several offices with no single individual or office held accountable. As one administrator noted, admissions was an area everyone knew and understood. Therefor, it tended to get more attention and resources than retention.

The financial aid program was to be improved through additional scholarship funds and increased gift aid with a corresponding reduction in the self-help component of students' packages. The strategic plan targeted $1.14 million in new annual operating revenues, or $19 million in new endowment monies. IPEDS data showed consistent increases in institutional gift aid from 1988 through 1994 with the size of the increases significantly larger each of the last four years. The total amount of

institutional resources increased from $3.2 million in 1988 to $8.1 million in 1994. IPEDS data indicated that scholarship monies grew 165 percent between FY85 and FY94 as compared to an overall E and G growth rate of 100.8 percent. As a percent of the E and G budget, scholarship expenditures rose from 19.7 percent to 26.1 percent during this period.

Interviews indicated that financial aid, and especially merit scholarships, were used as a means of pursuing the admission policy of the institution. For financial aid recipients, increases in tuition and fees were largely met by increased college grants, rather than through outside funding sources. Admissions literature for 1994-95 described seven types of merit-based academic scholarships with awards ranging from $3,000 to $10,000 per year. The publication did not, however, indicate the specific number of awards available in each category. Campaign literature identified financial aid as one of four major initiatives with a goal of $16 million in new endowed funds. The 1994 Annual Report stated that the campaign yielded 88 new endowed scholarships, but no total dollar value was given.

Student Life. Enhancement of student life encompassed activities in the areas of residential and religious life, athletics, social life, health and mental issues programming, and an environment welcoming to students of diverse cultures. Although facilities were added and religious life strengthened, additional changes in student life appeared limited, and most of those interviewed agreed that this initiative received less attention and commitment than others.

Following adoption of the strategic plan, several new residential facilities were opened, language houses were established, and a new dormitory and conference center was funded and scheduled for completion in 1996. The lower level of the student center was renovated, and athletic facilities were improved and expanded.

The 1990 Statement of Direction explicitly tied student life program goals to the Christian faith and values. In this document, students' development was discussed in the context of their relationship with, responsibility to, and respect for God. The extent to which additional efforts were undertaken was not determined. Through the

office of Dean of the Chapel, as previously reported, public worship programs were changed in response to students' needs and interests.

The student center contained numerous flyers about various student services, such as student health, career center, academic support, and activities and events, suggesting a wide array of programs and services; and the 1993 Self Study indicated an availability of health-related outreach programs. However, there were no data to indicate in what ways, if any, these activities represented a change from previous years.

Although student affairs personnel reported the campus had experienced no problems with hate speech or racial epithets, both the student guide and others interviewed indicated that the campus was still not particularly welcoming to minority students, especially those from urban and economically disadvantaged backgrounds. Several current issues of the student newspaper contained editorials on racism and gay rights, but they conveyed no sense of strife.

Efforts to integrate academic and co-curricular programs did not occur, according to those interviewed, although some new initiatives were reportedly underway. Several faculty and staff indicated that efforts to enhance student life, bringing it into partnership with the academic program, stood to gain increased attention now that other goals had been achieved. They felt this would not happen, however, until the college made the same level of commitment to student affairs as it did to the chapel program.

Campus Development. The continued development of campus facilities was intended to proceed at a more measured pace, taking a back seat to the enhancement of academic programs. This appeared to be the case. In spite of the focus given it in campaign literature, far less change occurred in this area as compared to other initiatives and past activity. A review of annual reports, alumni publications, and the 1993 Self Study report, among other documents, indicated a modest amount of construction and renovation. Since 1990, documents reported construction of a new field house and tennis center; the renovation of a residence hall, student activity area,

and theater; improvements to several athletic fields, parking lots, and plaza areas; and the refurbishment of several science laboratories. In addition, several small residential facilities were purchased and a large new residence hall and conference center were funded and targeted for completion in 1996. Several priority projects--the renovation of the science building, construction of a new modern languages facility, and significant increases in endowment for plant maintenance--were not funded.

Yet many of those interviewed cited continued enhancements to the physical plant as a major change of recent years. This perception may have resulted from the fact that much of the construction which marked the previous two decades was brought to closure, including finishing touches that were both noticeable and aesthetically pleasing.

An objective to increase revenues from the use of facilities was not successful. An analysis of auxiliary income, as reported in institutional budgets, showed some growth in monies received for the summer term, conferences, community use of the tennis facility, bookstore sales, and property rentals. Yet expenses also grew, moderating the net benefit of revenue increases in these areas.

Community Service. An enhancement of programs and relations with the community, was designed principally to serve enrollment objectives. The evidence showed few new initiatives in this area. In spite of several worthy programs, both registrar and admissions personnel reported that little progress was made in the enrollment of minority students from the surrounding community. Publications described a wide range of outreach activities including a vigorous Upward Bound program, an after school achievement program for elementary school children, faculty-teacher collaborations for the improvement of science education, summer programs for the academically talented, student volunteer efforts, and performing arts events. Some of these programs were added following the development of the strategic plan. However, many of these activities had been in place for some years prior.

Finances. Assuring the future financial strength of the college was achieved in some ways, but not as articulated in the strategic plan. The goal of increasing the ratio of expendable fund balances to plant debt from .7 to 1, to a 1 to 1 ratio, was not realized. In fact, the exact opposite occurred. Tactics for achieving this goal were to increase unrestricted endowment, by $4.7 million, and/or reduce debt. Although there was growth in unrestricted endowment, the college also incurred substantial new debt. The 1994 audited financial statements and the 1995 Report to the Business and Finance Committee both substantiated that, as of FY94, the college had increased its debt obligations by a considerable amount and the debt ratio for 1995 stood at .4 to 1. Several factors contributed to this worsening ratio. First, several major construction and renovations projects, some begun during the previous campaign, were only partially funded by contributions. Second, from 1990 to 1995, the college purchased and financed properties adjacent to the campus in its efforts to expand student housing. Although some of the recently acquired assets would become revenue-producing, thus improving the ratio, this would take several years.

Yet the fiscal health of the college appeared comparable to that prior to planning. Enrollments were strong, the endowment grew substantially, operating revenues from annual giving increased, and academic equipment was purchased and facilities renovated through new gifts and grants. The number of tenured faculty was at a comfortable 67 percent, salaries were competitive, and faculty and staff enjoyed considerable job security.

Audited financial statements and IPEDS data showed that the endowment fund grew by 80 percent, from $28.5 to $51.4 million, between FY90 and FY94 following the launch of the capital campaign. While a portion of the nearly $23 million increase was attributable to market appreciation, Development Office reports revealed that gifts to the endowment for this period totalled $19.2 million, not including outstanding pledges. The unrestricted portion of the endowment, intended to provide support for the operating budget, increased less dramatically, from $9.3 to $11.4 million. Viewed over a ten year period, the endowment grew from $11.5 to $51.4

million, an increase of 347 percent, and the contribution from endowment income rose from 4.6 to 7 as a percent of E and G revenues. Annual gifts for unrestricted purposes increased 60 percent, from $1.67 to $2.68 million per annum, between FY85 and FY94. Total gifts and grants, both restricted and unrestricted, grew by 42.2 percent from $2.44 to $3.47 million, but fell from 11.3 to 8.2 as a percent of E and G revenues. Institutional budgets showed that new and increased allocations were most evident in the areas of religious life, endowed faculty chairs, financial aid, building improvements and equipment purchases, research funding, and increased faculty salaries.

The data showed the college experienced some shifts in the sources of its revenues between FY85 and FY94, based on IPEDS reports, financial statements, and institutional records. Total income grew from $27,563,125 to $52,654,546, an increase of 91 percent, of which 20 percent was dedicated to auxiliary enterprises. Of this total, E and G revenues rose 95.9 percent, while income from auxiliary enterprises increased only 73.8 percent. Tuition revenue increased at the slightly faster rate of 115.3 percent, rising from 62 to 68 percent as a portion of E and G revenues. As previously noted, the contribution from endowment income increased from 4.7 to 7 percent.

Total E and G expenditures rose 100.8 percent during this same period. Allocations for instruction and academic support rose at slightly higher rates, 106.7 and 103 percent respectively, while expenditures for student services, institutional support, and plant operations showed below average increases of 92.9, 52.3, and 61.1 percent respectively. As already noted, financial aid grew at the disproportionately high rate of 165 percent, rising from 19.8 to 26.1 of total E and G expenditures.

The fiscal management of the college seemed astute and business officers appeared to assess the financial strength of the institution with regularity. There was good communication between this department and the president and board of trustees. Comparative analyses, as well as internal reviews, were periodically used to evaluate the adequacy of financial reserves, the allocation of resources, tuition discounting,

and value to the consumer. In contrast to many of areas of the college, written reports and interviews gave evidence that the financial and admissions functional areas were both keenly aware of the challenges and opportunities posed by the external environment, and regularly assessed and compared the college against peer groups and competitors' trends.

Implementation

The plan was formally approved by the board of trustees and distributed to the entire college community. Subsequently, four of the eight core strategies were used as priorities for the capital campaign. Themes from the plan were also regularly incorporated into college publications such as annual reports, newsletters, and admissions literature, as well as in campaign literature; and progress toward the goals was regularly reported. Thus, the messages outlined in the plan were articulated frequently and in multiple ways.

Although the campaign served as a major vehicle by which the plan was implemented, senior officers also took considerable responsibility for initiating and executing plan recommendations. In particular, as evidenced by memoranda and interview data, the chief academic officer consistently referenced the plan document and used of it to drive his and his subordinate's work. As certain initiatives moved to completion, he redirected his and other's efforts to take on priorities not yet addressed. Thus, he methodically worked to implement plan objectives relevant to his functional responsibilities.

The college also demonstrated an effort to assess its progress by undertaking a review of its actions and formally documenting them in the 1993 Progress Report. However, the study was not broadly circulated. More informal, recurring evaluations were reportedly conducted in administrative staff meetings. Yet many stakeholders expressed a desire for closure. Although the conclusion of the campaign made a significant statement, it was incomplete for those who considered the plan more than that. Questions remained as to where the institution was in relation to plan priorities.

Resources to fund plan goals were principally generated through new revenues rather than reallocations. Solicitations were tied to identified priorities and when budget-relieving, the freed monies were shifted to other priority areas, such as financial aid. As a result, the college did not struggle over program and budget reductions in some areas in order to fund new initiatives in others. Rather, it implemented goals mostly through the acquisition of new resources.

Factors Influencing Observed Results

Presidential leadership was a key element in the success of the strategic plan. Interview data indicated that the president was highly involved in articulating the vision for the college and in drafting the final plan document. He was deeply committed to plan objectives and exhibited considerable leadership in moving the college toward those goals. Administrators reported they found him very accessible, while faculty described the president as largely invisible. An obvious consequence of the capital campaign was the diminished visibility of the president to campus constituents. Although faculty recognized and appreciated the benefits derived from fund raising, the president's absence subliminally raised questions and doubts about his interest in the academic life of the college, even though this absence permitted the college to achieve its goals.

Participation in planning was broadly-based, extensive, and substantive; and the recommendations of those involved were largely incorporated into the final plan. Thus, there was a deep sense of ownership for the plan objectives and subliminal, if not overt, efforts to help implement it.

The nature and substance of the plan was also congruent with the culture of the organization, contributing to its success. Like the college, the plan was rational and highly structured, and plan goals were clearly in synch with the mission of the college. The strong academic reputation of the college, its commitment to Christian values, and a generally conservative character proved a very desirable combination given the social and political climate. Whether it was an astute, deliberate strategy or

a timely coincidence, this combination may well have facilitated the achievement of both enrollment and fund raising objectives.

Summary

Although several of the eight core strategies were only minimally realized, and some action steps never addressed, the plan was largely successful. When using the three overarching themes of tradition, excellence, and diversity to assess overall results, the first two were clearly realized.

The religious character of the college was much strengthened through plan initiatives. Results were aided by new funds for an endowed chaplaincy, expanded programming, greatly increased student participation, and a heightened sensitivity to the Christian traditions and values influencing all activities of the colleges. Yet, as noted by the re-accreditation visiting team, the mission of the college as a Christian institution was not without its tensions.

The goal of excellence, while never finite, was also realized. Enhancements to the academic program, curricular emendations, collaborative research initiatives, expansion of library resources, continued acquisition of academic equipment, faculty scholarship, and student achievements all gave evidence of substantial achievement. Major foundation grants and national honors received by students and faculty suggested the college was well-regarded.

The goal of becoming more diverse and welcoming of other cultures, however, received minimal effort with little success. The recruitment of minority students was better than that of faculty, although numbers remained very small. New hiring policies and procedures, explicitly supporting increased minority representation among faculty and staff, were established but unevenly observed. Early planning documents revealed tension between diversity objectives and adherence to Christian values, later manifesting itself most visibly in faculty hiring practices. Restrictive hiring policies brought the goal of academic excellence into conflict with fidelity to Christian traditions.

Although the plan addressed what the college perceived to be critical needs, it outlined enhancements rather than remedies for problems. The college continued to enjoy enrollment and financial stability, albeit not without challenges. A comprehensive and up-to-date physical plant was reinforced by ongoing improvements to campus facilities. The strong tradition of alumni annual fund support was augmented by substantially increased levels of endowment giving. There remained a high degree of continuity among the staff. Faculty salary levels had increased and morale remained high. The sense of job security and lack of serious concern about institutional stability continued to prevail.

With the conclusion of the campaign, and most plan goals achieved, many hoped the college would now pursue issues outlined in the plan document but as yet unaddressed. Ethnic diversity and student life initiatives remained important but largely obscure, with neither receiving the attention or resources needed to achieve substantive results. In addition, the re-accreditation team questioned the practicality of spreading the model of excellence, as exemplified by the sciences, to all divisions and departments given concomitant resource needs, growing financial aid demands, and the anticipated need to replace a growing number of retiring faculty. The most challenging task however, as noted by many, would be how to remain distinctive with regard to the Christian mission of the college.

College B

Setting and Institutional Profile

College B is a four year, Catholic, Benedictine, liberal arts college for women enrolling 1,800 students. Located in a bucolic setting in a small, rural, Midwestern town, the 315 acre campus conveys a sense of isolation as well as a feeling of warmth, comfort, trust, and grace. A combination of restored turn-of-the-century buildings and 1960s utilitarian-style structures are complimented by several new, contemporary facilities.

As a residential college, 80 percent of the students live on-campus. Homogeneous in character, the student body is 95 percent Caucasian, 76 percent Roman Catholic, and 75 percent from within the state. Most come from middle-income families but require financial assistance to meet their educational costs. Students were pleasant, well-mannered, and wholesome.

From observations of the architecture, physical plant, and interior appointments, discussions with faculty and staff; and a review of written records; one discerns great attention to detail and concern for the individual. Faculty and staff were friendly and informal, yet a sense of structure and decorum clearly reigns. The grounds and buildings are clean and well-maintained. Buildings offer numerous informal gathering places; office doors are open and the effect welcoming and inviting. An atmosphere of pride tempered by modesty prevails.

The college is also the site of a convent for the religious order with property owned by the religious community intermingled with other campus buildings. A large, graceful chapel, in which mass is held daily, holds a visible position on campus. Although the number of religious faculty has declined, the sisters maintain a distinct presence on campus.

The college is closely affiliated with a neighboring, catholic men's institution with which it shares a common core curriculum, joint academic departments, and coordinated student activities. Some administrative posts are jointly held, and the two

campuses are linked by frequent, free bus service and networked administrative and academic computing.

As a Catholic institution, the college focuses on examination of the human condition in the context of Christian values. As a Benedictine college, it fosters the development of community with an emphasis on balancing work, prayer, and recreation. The Benedictine tradition is further characterized by an integration of the arts and culture with intellectual pursuits, a generous spirit of hospitality, stewardship, and humility.

As a women's college, College B is dedicated to a curriculum and pedagogy which addresses the differing needs of women, and a co-curricular program which fosters self-confidence, builds leadership, and encourages development beyond the classroom.

As a liberal arts college, the institution holds fast to requiring proficiency in each of the major disciplines and foreign language, the ability to think critically and communicate effectively, and development of the whole person. It has, however, responded to societal changes and the needs of its students by becoming more career-oriented.

Planning Process

At the time College B initiated strategic planning in 1985, it was in a healthy financial position. As reported in CAPHE records and the 1988 Self Study, and confirmed by interview data, the college had operated without a deficit for several decades and maintained board-mandated reserves. Cash flow was sufficient to provide for ongoing plant improvements as well as annual transfers to endowment. Following a decade of expansion in the 1970s, enrollment growth had stabilized. Overall enrollment trends remained positive, although freshmen entrants had fallen off slightly and the college anticipated headcount would decline beginning in 1989.

Documents demonstrated that College B recognized and understood not only the potential impact of declining numbers of college-bound students, but the growing

inability of middle-income families to afford a private education; a potential shortage of qualified faculty; and operating costs which continued to outpace inflation due to decreased government funding, increased demand for technology, and an erosion of the purchasing power of faculty salaries. Other factors, cited by the president, which drove planning were an inadequacy of academic facilities, deferred maintenance problems, financial concerns due to a small endowment and heavy reliance on tuition, and the aging religious community.

CAPHE reports detailed a history of systematic planning but noted past efforts were without consideration of external factors. Further, the slow, deliberate nature of past processes was unresponsive to rapidly changing circumstances. Thus, strategic planning was undertaken to establish priorities for decision-making within the context of these external realities. The project was also intended to strengthen future planning by training staff and creating a closer link to the budgeting process. Those interviewed felt the planning process provided a concrete framework and unified direction of movement.

This particular planning activity occurred over a two year period from 1985 to 1987. Written records and interview data provided no evidence to suggest that faculty participated in the process. Rather, it was an activity involving senior staff. Midway through the planning initiative, there was a transition in the presidency. The individual directing the process, and deeply committed to its success, was appointed president. With this transition, the planning function became centralized under the president, and in subsequent years changes occurred in each of the senior staff positions.

The 1987 Strategic Plan cogently outlined the key elements of the mission of the college and specific strategies for maintaining and strengthening each. The document admittedly represented the new president's personal vision but stated she was informed by the work of cabinet members and, to a lessor degree, discussions with trustees, faculty, and staff. The plan was submitted to the board of trustees and latter distributed to faculty and staff.

Concurrent with formulation of the strategic plan, the college developed and implemented a revised core curriculum. Soon thereafter, the re-accreditation self-study process began. The latter centered its evaluation around the same three themes, explicit in the mission, which had guided development of the 1987 plan. Throughout each of these endeavors, the college also sought to clarify the nature and extent of cooperation with its brother institution.

By 1988, as stated in the Self Study, basic concepts of strategic planning had been incorporated into academic planning and even more so into administrative planning. The college turned from exclusive concentration on internal resources and existing programs to an evaluation of the wider environment. The report described planning as an interactive process which evaluated present programs, facilities, and resources for effectiveness coupled with a review of aspirations, opportunities, and the changing needs of its constituency. In its expanded mode of assessing both internal and external factors, the college avowed that it "exist[ed] to fulfill its mission through the clientele it serve[ed]". As such, facilities, faculty size, programs, and services were all reportedly planned taking enrollment history and projections into consideration. Expected enrollment became central to the budget preparation and planning processes.

Since its creation, there were numerous iterations of the 1987 plan. Annual goals and objectives, assessed and reported by the president to board of trustees, gave evidence of the ongoing nature of planning. Each showed a gradual shift in emphasis. These successive sets of goals and objectives were augmented by a comprehensive Marketing and Enrollment Management Plan, prepared in 1992. The latter document was more than a detailed operating plan for this functional area. It rather boldly prescribed several comprehensive strategies, encompassing both institutions, believed necessary to achieve enrollment objectives. Some, most notably the chief admissions officer, came to believe this plan drove the college.

Numerous other initiatives also gave evidence of ongoing planning and evaluation. In 1994 the Continuous Quality Improvement Steering Committee

proposed a model to integrate numerous planning activities occurring at both institutions which included strategic planning, outcomes assessment, academic restructuring, a review of governance, and outlining fund raising priorities, among many others. While the report represented a good effort to synthesize the various initiatives, there was no evidence that its recommendations were carried forward in any formal way.

In 1993-94, according to interview data, the college formed a new, large, broadly representative planning committee which soon merged with a similar group at the brother institution. Subcommittees examined and presented seven key issues for consideration, from which the combined boards chose two as priorities. Most recently, the boards of trustees for the two affiliated institutions undertook a joint, board-driven strategic planning process, preceded by an analysis of how best to govern the coordinate relationship between the two colleges. Subsequently, a new strategic plan was formulated, and a new coordinate mission statement drafted by the two presidents, based on input from a wide-range of stakeholders.

The Plan

As explained in the Self Study, the college mission statement identified three characteristics which distinguished the institution: (a) the Benedictine values which infused its structure, operation, and curriculum; (b) a concern for the development of women in an equitable setting; and (c) a liberal arts education which strove to balance the intellectual and personal development of its students. These three themes established the framework for the strategic plan.

The 1987 Strategic Plan document began with a summary of environmental factors affecting the college. It was followed by four chapters, one each addressing the three themes outlined in the mission, and one focused on management of the college. The document concluded with the plan itself, organized into the following four sections:

1. Strengthen the liberal arts mission.
2. Enhance the Catholic and Benedictine character.
3. Extend women's learning beyond the classroom by: (a) fostering the commitment to women, (b) expanding cooperation with the brother institution, and (c) improving the non-academic program.
4. Strengthen management of the college in the areas of admissions and retention, financial affairs, institutional advancement, and facilities management.

Each section consisted of several goals, with each goal supported by a set of "strategies". The latter were more analogous to action steps or tactics. Although the action steps were fairly detailed, only a few contained specific measures or time frames. Nonetheless, while the college aspired to improve in multiple areas, the plan was pragmatic and realistic.

During the years that followed, the plan was routinely revised. The 1990 president's report to trustees gave evidence of a new list of institutional priorities, based on a review of the work of the previous year, each of which was supported by multiple action steps:

1. Enhance learning in the Benedictine tradition.
2. Maintain stable enrollment.
3. Enhance pluralism.
4. Improve financial posture.
5. Enhance physical environment.
6. Foster personal and social growth of students.

A 1992-93 list of college goals and objectives replicated the 1990 list but included an additional goal: define the future direction of the partnership with the brother institution. The action steps under each of the goals had also been updated. During the same year, the Marketing and Enrollment Management Plan made a strong recommendation that the two institutions become more integrated, not only for recruitment purposes, but because such action was generally appropriate. It further

suggested that the two institutions vigorously explore the issue of gender, from the male as well as female perspective. The document also contained explicit enrollment goals, objectives, and measures of success, and in support of these set forth a detailed list of initiatives for various other functional areas.

The 1993-94 set of goals and objectives represented a joint statement by the two colleges, and marked a significant evolution in the priorities driving the college. The plan identified seven key issues: (a) the coordinate relationship, (b) educational quality, (c) governing relationships, (d) campus facilities, (e) enrollment and fiscal resources, (f) management issues, and (g) external outreach. Upon review of this proposal, interview data indicated that the combined boards of the two institutions chose two areas on which the colleges should focus their attention:

1. Identity.
2. Excellence.

The emphasis on identity, which was grounded in earlier planning efforts, reflected discussions occurring among the trustees at that time. They felt the coordinate relationship was no longer a tangential issue and directed the presidents to make it functional. Excellence was later defined as "an integrated education," to be addressed across all functional levels. Thus, the key strategic initiative became that of a strong coordinate relationship.

This successive series of plans not only confirmed the ongoing nature of planning at the institution but documented the evolution of institutional priorities. Although there was strong evidence that the college made many improvements in strengthening its liberal arts mission, enhancing Benedictine values, and expanding developmental opportunities for women; these proved not to be the major strategies which drove the institution forward. As consistently reported by those interviewed, between 1987 and 1995 two dominant strategies emerged: improvement of the physical plant followed by integration of the two colleges, academically and administratively.

Results

There was strong evidence that the college moved ahead in all major areas outlined in the 1987 Strategic Plan. The President and others readily acknowledged that not every item was addressed, but were satisfied that most plan objectives were achieved. Further, significant changes occurred in relation to the two emergent strategies. The findings reported relate not only to results of the 1987 plan, but the emergent dominant strategies as well.

Coordinate Relationship. Initially a minor objective in the 1987 plan, a closer partnership with the brother institution developed as the central strategy shaping the future of the institution. Many of those interviewed observed that collaboration evolved gradually, beginning in the 1970s. By the 1980s, the academic programs of the two institutions were fairly well-integrated. Several cited the joint core curriculum, developed through faculty initiative and implemented in 1986, as a major step forward in the cooperative relationship. The 1986-88 catalog revealed a marked change in student recruitment by switching to the message of two closely-aligned institutions. Thus, by the time the 1987 Strategic Plan was developed, the two colleges were cooperating in several areas.

The 1987 plan document contained an objective which outlined various action steps aimed at creating a more efficient relationship between the two institutions. It was listed under the section addressing the mission to educate women. Proposed activities included joint enrollment planning, development of a funding formula for joint programs, setting joint priorities, and investigation of an integrated administrative structure.

The 1988 Self Study described College B as maintaining a cooperative partnership with its brother institution in which each retained its own identity, while cooperating with the other, so that the entire academic experience was perceived as one by students. The partnership included joint academic departments, a common calendar, shared classes, and many joint services. By this time all but 4 of 23 departments were already joined or closely coordinated. Academic governance was a

mixture of collaboration and separateness. Some committees were joint to both faculty bodies, and special committees were created to provide communication on key issues, such as the Joint Educational Policies Committee. The two faculty senates held occasional joint meetings, but remained separate entities. There was a single registrar function; and some services, such as the library and computing, worked jointly but maintained separate offices.

Although these many collaborative efforts predated any formal, deliberate strategy, annual reports and those interviewed indicated that, up through 1990-91, there was ambivalence about the relationship, no clearly defined common mission, and no infrastructure to support increased collaboration. Each college maintained its own campus, student residences, student government, separate support services and, most importantly, separate administrative structure and system of governance.

The annual reports documented ways in which coordination evolved, actions which were confirmed by interview data. A new president was appointed at the men's institution in 1991. That fall the two presidents outlined their vision for the coordinate-college relationship. Their plan was submitted to the two boards of trustees followed by dissemination to faculty and staff. Subsequently, a joint task force of faculty and students was appointed to examine governance and administrative functions with a mandate to redesign academic structures and procedures. A revised system of academic governance was implemented in 1992-93, including joint faculty senate meetings. Concurrently, the two sets of vice presidents were directed to review and align their respective structures while a joint trustee committee investigated ways to simplify the governance structure of the boards. In 1993 the relationship between the two religious communities was also redefined.

The relationship evolved in other ways, as well. The Self Study outlined an agreement to coordinate construction of academic facilities on the two campuses in ways which complemented both. This objective was realized in a new science center, completed in 1992 and housed at College B, the planning for which involved faculty from both institutions.

In 1993, the ad hoc trustee committee presented a set of recommendations, inclusive of specific action steps and timetables, with provisions in four areas: (a) establishment of joint board functions, explicit by committee, by May, 1993; (b) development of a coordinate strategic plan by May, 1994; (c) creation of a coordinate mission, values, and vision statement by May, 1994; and (d) assessment of progress toward the vision by May, 1995.

Those interviewed provided further insight into the evolution of the partnership. Students had long viewed the two institutions as one, which pushed faculty toward greater coordination of the academic program with administrative structures lagging behind. Significant structural changes were still needed to achieve integration across all functional lines. In hindsight, most recognized that the presidents shared a vision which they deliberately and openly pursued. But the move from cooperation to coordination was achieved slowly and patiently through multiple initiatives rather than through the imposition of a single, broad mandate. It was this approach that several cited as key to the success of the strategy.

In the academic arena, development of a joint core curriculum served as an educative process for faculty, and several felt it helped build intellectual parity between the institutions. The resulting document represented a series of compromises - between departments, divisions, and the interests of two faculties. However, barriers remained. Two highly sensitive areas were joint faculty assembly and a joint rank and tenure committee. These were implemented in 1993-94. Those interviewed indicated that, by 1994-95, all academic departments were joint with a single faculty member as chair, all faculty senate meetings were jointly held, and the colleges enjoyed a co-institutional curriculum unified across the two campuses. During 1994-95 changes were implemented to integrate the two administrative structures. The merger was formalized in February, 1995 with the appointment of a single Provost to oversee all academic affairs for both institutions.

Administratively, the various functional areas were brought together with considerable success. Interview data and written records showed that the number of

joint administrative appointments increased markedly, and many administrative functions were either merged or collaborated closely with one another. Although there had been several joint administrative posts, it was not until 1989 that the first such appointment was made at the vice presidential level. As of Spring 1995 there were three single vice presidents - enrollment, external programs, and academic affairs. At other levels, the administrative and academic computing offices were combined under one director in 1992. In 1993, joint Directors of Public Affairs, International Education, and Cultural Pluralism were appointed. This increase in the number of single positions serving both institutions also required a new, coordinated reporting structure, some of which was still evolving.

The presidents also moved to joint cabinet meetings beginning in 1992-93. By 1994-95 the president of College B convened separate meetings of her staff only once per month. She also reported that the two presidents met as a team with both vice presidents for a single functional area. And, when particular issues arose, both vice presidents were consulted before action was taken. Cross-functional teams were initiated in 1993-94 with cabinet members charged to develop ways of working systematically together. Thereafter, several reported they checked regularly with their counterparts before taking action.

The financial and advancement vice presidents were seen as working closely. The development of joint fiscal policies was viewed as a huge achievement. In fund raising, it became impossible to work independently as the coordinate relationship became more innate. Any future campaign would necessarily be undertaken jointly and options for such an integrated campaign were already under discussion.

This integration had multiple effects. Not only were activities and policies for each function better coordinated, but perceptions changed. Administrators reported becoming less territorial and more focused on larger institutional issues. Messages became more consistent, and attitudes about who and what one worked for changed radically. Although administrators still had agendas for a single school, they felt an obligation to respond from a coordinate perspective.

In spite of these tremendous strides, some tensions remained. A few described a feeling of schizophrenia in working for two institutions rather than one, and people continued to grapple with the new joint mission. Questions remained about who each institution was individually and who they were together. On a more practical level, the creation of a single faculty also led to problems of allegiance and culture clashes. Faculty became more devoted to their departments and professional affiliations than to their institution. Two very distinct faculty cultures also existed, having evolved over many decades. As the faculty came together in new and different ways, they learned from each other leading to a new culture as yet not fully formed or defined. Styles of decision making and faculty interaction with the administration were very different and not easily reconciled. These cultural differences, coupled with the political realities inherent in two institutions, were cited as constraints not yet resolved.

One vice president suggested the coordinate relationship had been "the" strategic initiative of the past three years with energies focused on defining it, developing it, testing it, and then redefining the institution in light of it. Throughout the process, faculty, trustees, and administrators came to have a better understanding of the unique needs of each institution. Discussions of men's development, as well as women's, served as a basis for the institutions remaining segregated in some ways. Each institution was able to distinguish itself in what was unique about the development of men and women, and in so doing better served its students.

Liberal Arts and Academic Affairs. This goal of the 1987 plan was to be accomplished through faculty recruitment and retention, academic programs, the January term, academic support services, and the international program. A focus on pluralism was added in 1991. The liberal arts were strengthened in several ways, not all of which were outlined in the plan. Implementation of the core curriculum and the increasing coordinate relationship proved to be key elements. Those areas not adequately addressed were program review and international programs.

Implementation of the core curriculum was a major initiative strengthening the liberal arts. The program required proficiency in mathematics and foreign language

and specified disciplinary and cross-disciplinary components, with additional work designated in gender issues, global issues, and quantitative reasoning. A core curriculum handbook guided faculty course development and served as a manual for students. A program in writing and communications skills across the curriculum was also implemented. At the same time, the college maintained seven pre-professional programs which continued to graduate a substantial portion of majors. Elementary education, nursing, and management were consistently among the top five departments in number of majors from 1985 through 1994, according to IPEDS data. Social work, dietetics, music, and accounting, although smaller, graduated a considerable number of students as well. The juxtaposition of these programs with the liberal arts mission was a philosophical concern to some. Consequently, faculty in the pre-professional programs were recruited to teach sections of the freshman symposium and senior seminar, better integrating those departments into the larger mission of the institution. Yet, as one interviewee noted, this was not a serious issue since the college had always advocated a firm grounding in the liberal arts and the service professions were congruent with the Benedictine mission.

In the area of faculty recruitment and retention, issues of compensation, academic credentials, and professional development were vigorously addressed while visiting scholars and early retirement program objectives were not implemented. A general improvement in faculty salaries, as outlined in the 1987 plan, led to a full redress of inequities between the two colleges. The 1987-88 academic year was the first in a multi-year effort to increase faculty salaries according the 1988 Self Study, and the 1990 annual report included a study which documented the salary disparity issue. According to various administrators, the college began budgeting for adjustments by adding $75,000 a year for salary upgrades. Then in 1993, as stated in the annual report and confirmed by institutional budget summaries, the college allocated $320,000 to bring salaries in line with the brother institution.

AAUP salary surveys confirmed significant change in this area. In 1988-89, the mean salary for continuing faculty was $30,731. It rose annually between 1.4 and

5.2 percent until 1993-94, when it jumped 11 percent. The mean salary for this group stood at $41,244 in 1994-95. In 1987-88 six full professors earned salaries ranging from $36,000 to $39,999. The maximal salary category for any faculty member was $39,000 - $39,999. Top salaries edged up one or two categories each year until 1993-94 when those at the top jumped seven levels to $60,000. By 1994-95, 20 full professors earned salaries between $45,000 and $59,999. The majority of faculty at the assistant professor level earned between $24,000 and $25,999 in 1987-88 with $21,000 being the lowest rate for this group. In 1993-94 the majority of this group earned between $31,000 and $34,999 with a bottom scale of $27,000. By 1994-95, almost 20 percent of the assistant professors were promoted to the associate level with corresponding salary increases. As one vice president noted, the compensation issue was well-addressed with great improvements made.

The number and professional credentials of faculty also changed. Internal records showed the number of full and part-time faculty jumped from 129 in 1985-87 to 165 in 1988-89, and stood at 163 in 1993-94. Also in 1993-94, 57 percent of the faculty were female and 43 percent male, consistent with figures throughout the previous decade. The president and others reported little success in minority hirings, with 1993-94 records showing that 10, or 6.4 percent, out of 156 faculty members were identified as ethnic minorities. There was no previous year data with which to compare those figures. The increase in faculty hirings was reportedly related to needs created by implementation of the core curriculum.

There was a deliberate and concerted effort to hire a better-qualified faculty. Specifically, faculty and administrators alike stated that the college sought candidates with better credentials as a means of strengthening the liberal arts. Beginning in the mid-1980s the college recruited faculty with doctoral degrees and teaching experience from major universities outside the region, committing resources accordingly. Internal documents showed that in 1985-86 a total of 70 out of 129 faculty held the doctorate or other terminal degree in their field. In 1993-94, 81 of 163 faculty held the doctorate and 30 held a terminal masters degree. This addition of talented, new

people brought a different cultural perspective to the campus which was much valued. Little was done, however, in the area of visiting scholars and short term appointments. Both the lack of funding and a shift in focus were reasons cited.

No formal, early retirement program was developed. One administrator cited a lack of resources, another stated that the board recommended individual negotiations rather than a set plan. A third administrator reported that such retirements were handled selectively as the curricula of certain departments needed to move forward.

Professional development of faculty was already evident at the time of the 1987 plan. Support continued but with a shift of emphasis intended to advance college objectives, particularly with regard to women's development. The 1988 Self Study noted that sabbatical leaves and release time continued to be valuable vehicles for faculty development and a new policy implemented in 1988 released faculty from teaching every third January term. Faculty stated they felt encouraged by the administration to conduct research and participate in professional conferences, with opportunities to live abroad serving as another means for professional development. Projects listed in the 1990 annual report included course revisions to reflect gender as a category of analysis, computer skill development, computer-assisted instruction, and topical faculty discussion groups. There was no evidence, however, to document participation rates.

One administrator indicated faculty were encouraged to pursue these activities through regular memoranda announcing internal funding opportunities, alternative funding sources, and new grant projects. An active faculty development committee worked closely with the academic deans, and the development staff regularly communicated funding opportunities to academic administrators who in turn informed department chairs.

Faculty members stated that the institution made a substantial commitment to the professional development needs of faculty and allocated increased financial resources accordingly. The president's 1990 annual report announced a $130,000 endowment gift specifically designated for faculty development, and several of those

interviewed referenced more recent foundation grants made for this same purpose. One academic administrator reported that an additional $41,000 was allocated in 1995 for curriculum and program development with an another $70,000 designated for professional development activities. These allocations were not evident in financial records, although additional funding may have been designated to accounts not readily identifiable as serving these purposes. Institutional resources for faculty development grew steadily, from $8,692 in FY87 to $26,275 in FY90 and then fluctuated up and down ending in FY94 at $15,609. Annual support designated for instructional development ranged from $66,102 to $78,501 between FY87 and FY92, falling slightly thereafter.

Both the 1987 plan and the 1988 Self Study outlined a plan to evaluate educational programs with a goal of strengthening, revising, or eliminating programs. Interviews with faculty and administrators confirmed this did not occur, and college catalogs and financial records showed program additions and amendments, but few reductions. Interior design was dropped in 1988, pastoral ministry and dietetics were reduced to minor programs in 1990. In 1988, peace studies was added as a full major. Communications was added as a minor in 1990, and minor programs in gender and women's studies and environmental studies were added in 1994. The changes appeared to have little relationship to the strategic plan.

Faculty claimed there was no systematic, periodic review of programs to evaluate curriculum, resources, staffing, or to plan for future needs. Such activities were said to occur only when individual departments underwent reviews by external accrediting agencies. When departments sought approval for major program changes, the faculty curriculum committee generally endorsed requests with little question. One administrator observed that comprehensive program reviews were not possible without a joint effort involving the coordinate college. Nor were they likely as long as enrollments remained healthy. However, as several others noted, regional accrediting bodies would soon require institutions to demonstrate that assessment was built into planning and operating structures.

Improvements in the January term focused on making courses more structured and academic. Many courses were revised to include a writing or gender emphasis so they could be flagged as meeting core requirements. As a result, more courses were offered on the home campus with fewer independent and experiential courses available. It was felt that the term still did not function as effectively as it could.

The college also sought to serve the academic needs of students through the honors program, internships, academic advising, graduate school placements, and non-traditional programming. An internal memo cited 1989-90 as the first year in which there were honors program graduates. Since that time the total number of graduates grew from 4 to 30 in 1994, with the number of women increasing from 7 to 15. A total of 40 seniors were enrolled in the program for 1994-95, of which 28 were women. College catalogs described the honors program as consisting of specially designed courses, specific credit and grade requirements, and a senior honors theses. Funding grew from $17,731 in FY87 to $46,351 in FY94 as reported in financial statements. The program was mentioned in both the 1991 and 1992 annual reports as "flourishing", and related evidence confirmed its growth.

One administrator described internships as an area of weakness, but provided no explanation. A total of 50 students completed internships in 1991-92, as noted in the president's annual report. This compared to 52 students in 1986-87, a figure reported in the 1988 Self Study as fairly constant since 1982. No other evidence was available to evaluate the area.

The academic advising program was rated as good by those interviewed. The advising office, as described by the college catalog, coordinated activities which included faculty advisors, academic support groups, peer counseling, and special assistance for students with learning disabilities. Financial statements showed that budget allocations for advising rose consistently from FY87 through FY94 from $97,574 to $169,797. However, funding for the academic skills center was erratic, rising from $75,467 in FY87 to $90,183 in FY90 and falling thereafter to $48,346 in FY94.

There was no evidence to show to what extent changes were made, except in the area of student development and career counseling. Although some faculty and administrators recognized the relationship between students' personal and academic development, they noted that academic and student affairs were just starting to work more collaboratively. The orientation program needed an academic component and faculty needed training to recognize and address pertinent non-academic issues. However, there had been dramatic increases in counseling activities and programs addressing health issues, both of which supported students' academic performance. Further, it was reported that a separate office of career services was created to demonstrate the value of liberal arts as a preparation for a career. The office was physically situated in a location with other academic support services to facilitate collaboration. Joint efforts included programs hosted by academic departments for their majors, with alumni guest speakers discussing career options. In addition, faculty joined the career counseling staff at a conference for liberal arts colleges focused on a better alignment between career services and the academic program.

The objective to expand international program opportunities was not realized. According to faculty, a Latin American site was never developed and the college catalog gave no evidence of such a program. However, the college had a long history of sending students overseas in previously established programs, with an internal report showing participation rates were highest in the 1980s. An academic exchange with a Chinese university was implemented in 1988 with 5 first year participants, which increased to 12 in 1994-95. Financial statements showed that funding for overseas studies remained fairly constant between 1987 and 1994.

During the 1990s, as the emphasis shifted to building a closer partnership with the brother institution, so did efforts to create an administrative structure that reflected the joint nature of the academic enterprise. Although movement to a single chief academic officer occurred more slowly than planned, the presidents chose first to build an appropriate infrastructure. Responsibilities for the four academic deans were redefined to become less institution-specific, except in student matters, and focused

more on broad-based budgeting and hiring decisions. As noted earlier, the two faculty governance structures were also merged. With the 1995 appointment of a single provost, all responsibilities for the academic program, including curriculum, budgets, faculty, and tenure, were combined. Although this movement resulted in some tension, it was a paradox most felt they had to learn to live with which was subject to frequent redefinition.

Pluralism became an objective in 1991-92 with the annual report for that year citing 14 faculty grants for multicultural projects, 12 courses revised to reflect multiculturalism as a category of analysis, cultural awareness training for staff, an increased number of minority visiting lecturers, and academic summer camps for minority youth. Financial statements confirmed the addition of an office for cultural pluralism in 1991 with the budget growing from $54,130 to $155,569 in 1994. In 1992-93 the president reported becoming more involved in faculty hirings, favoring individuals interested in serving both women and men students optimally, committed to Catholic and Benedictine values, and representative of non-European cultures, all intended to enrich the lives of the students. Some cited the need for better coordination between admissions, the multicultural office, and arts center programming.

As the overall E and G budget grew by 100.8 percent between FY85 and FY94, allocations for instruction grew by only 68.8 percent and fell from 37.4 to 30.7 as a percent of E and G expenditures. Academic support, inclusive of library allocations, grew at a rate of 94.8 percent.

Catholic and Benedictine Heritage. Evidence suggested that at the time the 1987 strategic plan was completed, Catholic and Benedictine values were addressed through course material, campus ministry, and residence life. However, faculty knowledge of, and ability to enunciate, these values was described as modest in the 1988 Self Study. Since the identity of the college was deeply embedded in the Benedictine culture, the more embracing orientation, the declining presence of religious faculty made this a compelling concern. Internal reports documented the

decline in full-time religious faculty, from 33 percent in 1977-78 to 21 percent in 1987. In 1993-94 the ratio dropped to 19 percent, or 15 percent when part-time faculty were excluded. A similar situation existed in the administration with data showing members of the religious community accounting for only 17 percent of that group in 1987.

The college seemed quite successful in achieving its goals in this area, although the assessment of results relied heavily on interview data. Various faculty and staff noted that the college became more intentional and worked hard to preserve its heritage with efforts centered on programs for faculty and students. Some felt the college did well in the academic arena, others praised student development efforts.

A focus on Benedictine and Catholic values was evident in the academic program in multiple ways. The core curriculum handbook listed requirements of a course in theology, one in Judeo-Christian heritage, and a senior seminar - the stated purpose of which was the development of moral reasoning. Faculty also noted that the topic of values was evident within the context of many other courses, and the presence of a values framework influenced faculty teaching methods.

In support of these efforts, the college sought to broaden faculty understanding of the Benedictine culture, how it shaped the educational experience, and to assist them in learning how to incorporate these values into their work and nurture them in their students. A series of weekend faculty retreats, addressing the Benedictine tradition, were established in 1990. Cited in the president's annual report, thirty faculty participated in the initial five sessions. Many of those interviewed referred to this as the Benedictine values program, describing it as a series of educational seminars which served both as a good orientation for newcomers and a reintroduction for those with long service to the institution. Participation was voluntary but the program, offered each semester, was said to have enjoyed good attendance over the years.

The essence of the Benedictine culture was transmitted in other ways, too, according to interview data. The subject was discussed during the orientation

program for new faculty, at various faculty retreats, in the hiring process, and at the beginning of rank and tenure reviews. In addition, one of the regular faculty discussion groups was organized around the issue of spirituality, with a future discussion aimed at the meaning of academic freedom in the context of a Catholic and Benedictine institution. The fall faculty workshop regularly opened with a prayer and included some kind of service. The Catholic dimension of the culture was reportedly communicated through theology, individual action, and stewardship.

Outside the classroom, students were said to absorb the Benedictine culture mostly through experiences. Some felt efforts were not explicit enough, noting more could be done during orientation; others countered that considerable resources were designated for the Chapel and ministerial activities. Campus ministry staff were described as working more closely with residence life staff regarding ways in which Benedictine values informed the behavior of staff and students. The 1990 annual report referenced a student affairs staff retreat focused on the Benedictine heritage as well as the participation of nearly 300 students in religious retreats and volunteer service. The 1992 report highlighted a regional seminar for women religious, hosted by the college and the convent, underscoring the religious aspect of the college mission.

The relationship between the college and the convent also changed following the 1987 plan. Beginning around 1990, it was reported that the administrative staffs of the college and the convent began meeting together four times per year, leading to increased communication and understanding. Since the college was fully independent, and obviously now the stronger of the two organizations, the relationship between the two entities needed to be redefined. The process was still underway but was complicated by the evolving coordinate relationship between the college and its male counterpart.

Women's Education. The 1987 plan set out ways to address the educational and developmental needs of women. The 1988 Self Study cited inconsistent attention to gender in the curriculum, an insensitivity to women's issues, and a tendency to

focus principally on issues of equity. Yet, it also noted that the emphasis was shifting to a rigorous exploration of gender perspectives, a concern for the education of women in the sciences, and expansion of leadership opportunities. This was being accomplished through a foundation-supported project, concluded in 1988, which examined differences in women's and men's learning styles, reviewed new research findings, and identified ways to integrate a gender perspective into course material.

Areas targeted to support the developmental needs of women included the academic program, faculty development, library holdings, and student leadership programs. Interviews and written records confirmed the focus on gender increased--in the curriculum, student services, and staffing--especially as the college moved closer in its association with the brother institution.

Issues of gender were addressed in the curriculum in multiple ways. Courses were designated by a gender flag meaning that gender elements were built into the overall content. As an incentive to faculty, flagged courses were given priority even when under-enrolled. The core curriculum handbook stated students were required to take at least one gender-flagged course. In 1994-95, registrar records listed 96 semester-long, gender-flagged courses, offered by 18 different departments, and 30 January term courses. A gender and womens studies minor was added to the curriculum in 1994. Faculty development activities included discussion and reading groups to address pedagogical issues. As the coordinate relationship intensified, faculty at the brother institution began to focus more seriously on issues of male-development which reinforced the emphasis on gender. Additional library funding was allocated to establish and expand gender collections. Arts and cultural series brochures also reflected an attention to gender in choices of artists, exhibits, and productions.

In non-academic areas, leadership opportunities were expanded and the 1992 president's report noted the development of a co-curriculum to highlight non-classroom opportunities and experiences. Also in 1992, multiple documents showed the college secured a multi-year $550,000 foundation grant to fund a faculty-student

leadership project the purpose of which was to help students develop socially responsible leadership skills, with a focus on gender. A women's development group, a men's reading group, a leadership and ethics group, and a campus culture group were organized. These various teams examined the effect of gender on attitudes about leadership, identified gender-related patterns in organizational behavior, and assessed problems specific to this age group with findings used to inform the larger college community. A student working group and an outreach group, added later, implemented a leadership symposium program and non-credit, on-line leadership courses. A 1995 issue of the student newspaper outlined a week-long seminar on gender issues and several editorials on the subject.

The college was said to have hired more faculty interested in gender-related research issues, and some administrators reported that sensitivity to gender was specifically addressed during the hiring of new staff. Others reported a gap between the curricular commitment to gender equity and the treatment of faculty and staff, citing a lack of day care facilities and little flexibility in the demands placed on female faculty.

One result of all this activity was not only increased attention to the educational and developmental needs of women, but a commitment to preserve attributes unique to a single-sex institution. Faculty and administrators alike felt the college must maintain and excel in this dimension of its identity, or it might as well merge with the men's institution. The growing attention to gender, coupled with the implications of increased inter-college cooperation, also spawned a commitment to a broader responsibility of defining what it meant to provide an education for men. It caused both institutions to articulate what was unique in the single-sex culture of each and what should remain separate. Thus, tending to the educational needs of women through expanded cooperation with the brother institution was also achieved.

The college was also successful in strengthening residential life services and better integrating students' personal and academic development. Although progress was documented in numerous ways, one action was pivotal. In 1990, the president

hired a new vice president for student development bringing greater professional knowledge and expertise to the college. In turn, the new vice president required greater professional training and academic preparation in those hired within the division. Staff functions were redefined to respond more effectively to student needs. Some functions were merged into a single position where responsibilities overlapped or more integration was needed, such as housing and residence life. In other cases, such as career services and counseling, functions were separated so each would receive increased attention and emphasis. The focus of programming also changed to include more outreach activities and group work.

Changes cited by those interviewed were many. Students were required to carry health insurance, with monies previously allocated for doctors' services redirected to fund a health educator who launched health education programs and helped students negotiate health care options. Housing and food services were improved through the hiring of individuals with professional training in those areas, and the cafeteria was renovated. Campus ministry activities were brought into closer alignment with residence life, and a new director worked with students and staff to incorporate the values and spirit of the Benedictine tradition into daily practices. The orientation program was moved from summer to fall, and a mail-in registration system was implemented. Future changes, scheduled for 1995 and 1996, included emphases on academic and personal development and a program for parents.

Annual reports also documented changes. Space needs were assessed in 1990 and a student lounge created. In 1991 the college received a grant to fund a peer alcohol training program and added staff for alcohol education and counseling. Sexual assault programs were initiated, campus security operations were improved, and safety programs were coordinated with the brother institution. The student newspaper carried articles on safety, violence, and mental health; and self-help fliers addressed security issues and volunteer opportunities.

Social life needs were addressed through the design and construction of a new student center, scheduled for completion in 1995, to include athletic facilities, a health

club, meeting rooms, snack bar, and student activity leadership center. In addition, the student activities program was strengthened through the hiring of a new director, new policies, and developmental programs to include skill-building. Athletic schedules and staff rosters demonstrated extensive varsity and intramural programs. Teams were fielded in nine sports with 15 staff members appointed as coaches, trainers, and support personnel. Student newspapers documented numerous social and athletic activities, social service projects, and self-improvement programs.

According to several administrators, the sub-issue for student affairs became the learning agenda: how to reinforce the intellectual development of students by building emotional and developmental maturity. Five teams were created, each consisting of faculty members, student development personnel, and academic affairs staff. Activities that helped and problems that hindered student learning were identified and workable, systematic interventions developed. The establishment of other cross-functional groups also helped address this issue by reducing inconsistencies in the messages and polices of various departments.

College Management. In 1989, administrative services were restructured with a vice president appointed to oversee those functions. The areas of enrollment management and institutional advancement were also restructured, and new vice presidents appointed for each, who more fully embraced the president's vision for the future of the college. Changes were also made in the vice presidents for finance (1987), student development (1990), and academic affairs (1993).

College Management: Enrollment and Marketing. The primary objective was to stabilize enrollment while improving quality. Additional attention was to be paid to the composition of the student body, expansion of financial aid resources, and retention. The 1987 plan also directed that a marketing plan be designed and implemented which coordinated the efforts of all departments for both institutions.

The consistent report among those interviewed was that enrollment trends were strong and numbers more consistent year to year. IPEDS data, CAPHE records, and internal documents showed a different pattern. From the time the college began its

planning efforts, enrollments declined. In the seven year span from Fall 1987 to Fall 1993, IPEDS data showed total headcount fell 6 percent from 2,201 to 2,066, and the number of full-time equivalents fell by the same percentage. There was also a 4 percent net loss in the number of new freshmen, from 508 to 487. The data further revealed a substantial drop in new freshmen in Fall 1990 and 1991, to lows of 430 and 397 respectively, and a consistent decline in headcount through Fall 1992 to a low of 1,996, before figures for both groups began to rise. Applications rose steadily between 1991 and 1994, from 734 to 969, with the number offered admission dropping slightly from 93 to 89 percent.

Many of those interviewed felt that the academic qualifications of students were much improved, a perception supported by the evidence. The chief admissions officer cited record highs in grade point average and rank-in-class data for the past five years. Internal records disclosed that the combined mean SAT score rose from 1000 in 1987 to 1016 in 1994. The composite ACT score stood at 23 in 1987, fell to 21 in 1989, and then rose to 23.6 in 1994. The average high school grade point average for entering freshmen rose from 3.3 to 3.5 during this period. Since 1991 those ranking in the upper two fifths of their high school class increased from 78 to 85 percent and those in the lower fifth dropped from 7 to 3 percent.

Most acknowledged there was little change in the composition of the student body. The chief admissions officer explained that up through 1994, enrollment objectives emphasized volume and quality. Further, the college had not developed the programs or services necessary to serve the needs of minority students. Thus, little attention was paid to issues of diversity. The data confirmed this finding. Internal reports indicated that the number of in-state students remained between 75 and 76 percent from 1989 through 1994. Among freshmen, the number of Roman Catholics fell from 85 percent in 1987 to 75 percent in 1994. The change in religious preference was cited as coincidental. IPEDS data showed that in 1988, 97 percent of the student body was Caucasian, dropping slightly to 95 percent in 1994. The Self Study cited an eventual goal of 94 percent.

Responsibility for retention was formally assigned to the enrollment management function in 1988, but reportedly did not carry any real authority. The stated goal was to increase retention by one percent per year. Annual reports showed that retention efforts increased beginning in 1990, when an exit interview process was reinstated. In 1991, surveys and focus groups were conducted for those leaving. Yet there was no evidence of an organized plan, and it was suggested that activity surged only when problems arose. Internal reports revealed inconsistencies in year-to-year retention and completion rates of cohort groups. Retention from the freshman to sophomore year improved from 82 percent for the class entering in 1988, to 86 percent for the class entering in 1993. A similar pattern of improvement was evident as each class returned for the third and fourth years. However, four-year completion rates showed a decline from 64 percent for the 1986 entering class to 60 percent for those entering in 1990. Patterns were similar for five and six year completion rates. Annual reports and interview data indicated that retention rates for the total student body varied, improving some years and dropping in others. Several of those interviewed claimed that interest in retention was increasing as demonstrated by new efforts to assess the faculty advising program and recent changes in residence life programs.

The college began experimenting with new financial aid strategies in 1990 when it implemented new policies for no-need, merit-based, and academic awards. Written records and interview data both indicated that financial aid was intentionally used to target students with stronger academic credentials. This strategy was credited with enabling the college to attract better calibre students while continuing to honor its historical commitment to assist students with demonstrated financial need. During this period, IPEDS data showed that the total aid budget, from all sources, grew by 111 percent between FY87 and FY94 from $2,898,357 to $6,113,363. Institutional support rose 125 percent from $1,985,647 to $4,461,522. The most significant increase occurred in FY 89 when the budget jumped 31 percent, with successive increases ranging from 10 to 15 percent per year.

Both CAPHE documents and the 1988 Self Study reported that a marketing effort had been in place since 1982. However, following formulation of the 1987 plan, visibility was reportedly enhanced through advertisements and national news magazine rankings. Two administrators asserted that the recruitment of outstanding student athletes and success of the varsity teams were contributing factors. Those interviewed claimed the college became more aggressive and effective in its marketing, and perceived a strengthening of the image and reputation of the college to include a better articulated message about the value of women's education. The latter was said to have resulted in the enrollment of a different type of student. Recruitment materials documented a coordinated marketing approach for the two colleges, an approach cited as enabling the college to compete more effectively in the marketplace.

The goal of a co-institutional marketing plan for all functional areas was not realized. In 1987, according to those interviewed, the publications office handled all external communications. With the arrival of a new enrollment vice president, recruitment materials were soon handled separately. Although this led to a single set of joint college admissions materials, other departments pursued their own, often different, agendas. A coordinated effort within and between the two colleges began to evolve in 1993 with the appointment of a joint public affairs director. Soon thereafter, the two boards established a joint marketing committee to help coordinate messages. In 1994, spurred by the increasing coordination of all administrative functions, advancement and enrollment administrators met to review their collective messages finding them very compatible. This was particularly evident in three different videos, produced separately, all of which coincidentally shared the same themes, graphic images, and language. Several attributed this to the subconscious effect of increased inter-institutional collaboration. It was reported that the two institutions were scheduled to publish a joint alumni magazine in 1995-96.

College Management: Fiscal Matters. The 1987 financial management goal was to provide for qualitative growth in programs and services, including

development of a financial planning model. However, the college was heavily reliant on tuition. A small endowment provided little flexibility, and conservative fiscal practices offered few resources with which to implement strategic initiatives. As one administrator described it, the college was stable but had inadequate financial resources, an inadequate endowment, and inadequate facilities.

In spite of these constraints, numerous changes occurred during subsequent years and faculty described the institution as financially stronger. Data showed the college incurred more debt, doubled the financial aid budget, achieved salary parity with the brother institution, received significant funds for plant and technology upgrades, revamped internal systems, and adjusted its budgeting processes. Major changes in revenues and expenditures were both intentional and driven by other circumstances. Plan objectives were supported through new resources as well as reallocations, and a successful campaign funded new dorms, renovations, a science facility, and contributed to endowment growth.

Audited financial statements documented substantial increases in debt obligation. Between FY87 and FY94 the college managed four bond issues to fund new construction and other major capital expenditures: $6,365,000 in May, 1988; $1,680,000 in September, 1989; $5,100,000 in May, 1991; and $17,475,000 in March, 1994. Both the 1988 and 1991 bonds were repaid in-full using a portion of the March 1994 proceeds. Total debt during this period increased from $2,215,000 to $19,450,000. However, the chief financial officer stated it was not "risky debt" since there were sufficient revenues to support it. The 1988 Self Study reported that at the close of FY87 the college enjoyed a favorable asset-to-debt ratio of 5.3:1, permitting it to borrow at more attractive rates. As the size of the debt increased, the ratio naturally fell and stood at approximately 2.5:1 in FY94.

The total institutional budget, inclusive of auxiliary enterprises, grew from $16,331,101 in FY85 to $32,795,880 in FY94, as documented by IPEDS data. The E and G portion of the budget rose 105.6 percent, from $12,211,717 to $25,103,851. As already noted, expenditures for instruction increased only 68.8 percent and those

for academic support grew by 94.8 percent. Allocations for student services and plant operations also showed more modest rates of growth, increasing 45.9 and 99.5 percent respectively. By comparison, financial aid climbed 160 percent and institutional support jumped 172 percent during this same period.

The college anticipated a decline in federal and state support for financial aid, requiring an increased commitment of institutional resources, as noted in the 1988 Self Study. Institutional funds from current operating revenues, allocated to financial aid, more than doubled between 1987 and 1994 rising from $1,985,647 to $4,461,522; and the president's annual report noted a special $219,000 allocation in FY92 designated for the recruitment of academically talented students. Efforts to raise substantial endowment funds for scholarship purposes were not successful. Financial aid as a percent of the E and G budget rose from 19.3 to 24.4 percent between FY85 and FY94.

Salary parity was achieved over a period of several years. Several of those interviewed claimed the college budgeted an additional $75,000 per year to bring faculty salaries in line with the brother institution, with $320,000 allocated in 1992-93. Although institutional budget summaries did not provide evidence pertaining to the $75,000 annual allocations, they showed $290,000 was budgeted in 1992-93 and $327,392 in 1993-94 for this purpose.

Efforts to decrease dependency on tuition through increased annual funds and endowment income were unsuccessful, as evidenced by IPEDS data, financial records, internal reports, and interview data. From FY87 through FY90 tuition and fees, as a percentage of E and G revenues, stood at 81 percent, up from 78.7 percent in FY85. Since FY91 the proportion of tuition and fee revenue held constant, representing 82 percent of E and G income. Tuition and fees constituted 60 percent of revenue from all sources including auxiliary income up through FY92, rising to 61 percent in FY93. Gifts to the annual fund exceeded one million dollars beginning in 1990. However, the amount of unrestricted dollars, used to offset current expenses, fell short of budgeted goals. A capital campaign helped spur endowment growth from

$4.2 to $8.3 million between FY85 and FY94, and endowment income as a source of revenue jumped 515 percent. However, the actual dollar amount remained small, contributing only .9 percent to E and G revenues in FY94.

Gifts designated for capital projects rose substantially in FY90 and FY93 according to Development Office gift reports. Audited financial statements showed increases for all categories of gifts and grants, a number of which funded plant improvements, with revenues ranging between $2.5 and $3 million per year from FY87 through FY89. In FY90 the figure rose to $4,555,590, dropped to $3,116,266 in FY91, increased in FY93 to $5,346,736, and totaled $4,152,505 in FY94. In addition, several of those interviewed reported that the college budgeted annually for additions to the plant repair and replacement fund. Institutional budget summaries confirmed this practice for 1991-92 through 1994-95 with allocations ranging from $76,000 to $180,000. It was also reported that each year a percentage of the revenues for auxiliary enterprises was returned to the plant fund for this same purpose.

There were many improvements in the internal management of financial operations, as evidenced by the president's annual reports. A personnel/payroll system and an asset depreciation system were implemented in 1989-90. A bundled long distance telephone service, acquired in conjunction with the brother institution, resulted in considerable cost savings that same year. During 1990-91 further cost savings were realized when the bookstores of the two colleges were merged and a medical claims self-insurance plan was implemented. The college instituted a faculty and staff co-payment policy when health care costs rose $600,000 in 1991-92. That same year, personnel costs were reduced $356,126 through a combination of reduced contracts, early retirements, and layoffs. Non-compensation costs were reduced by $388,156 while still providing for a 2 percent salary pool increase. Beginning in 1992-93, a new financial planning model assisted in tuition-setting and was later used to make short and long-term projections. The financial officer reported that investment managers were changed several times in an effort to improve endowment

performance, and co-institutional fiscal policies were established resulting in greater efficiencies and cost savings for both colleges.

Budgeting was principally handled by administrative officers, and seemed of little interest to faculty members. The faculty budget committee was said to have functioned poorly and no longer took an active role in preparation of the annual budget. A faculty committee on compensation was, however, actively involved in discussions relating to salary and benefits. Several significant changes were cited regarding the allocation of funds for shared purposes between the two colleges. A complex credit and balance formula was replaced by a system of each college owning specific faculty, thereby responsible for the salaries of those faculty, with all non-compensation costs divided equally between the two institutions. This system was later revised to one where all academic and instructional costs, including salaries, were placed into a single pool with the two institutions splitting those costs according to enrollment. Several administrators reported that the two financial offices now ran parallel processes.

The budget link to strategic planning was less successful. Although all of those interviewed described the chief financial officer as dedicated to planning, several noted that the budget process itself had not been supportive of planning. Only when the cabinet members at both colleges decided resource allocations ought to be connected with what they thought was important for their future, did they work to create a process which took a longer view and set budget priorities which flowed from strategic priorities. A plan was designed in Winter 1994 and implemented in 1995. For the 1995-96 budgeting cycle, all vice presidents were asked to cut their budgets, selectively, by three percent. Those monies were then allocated to a strategic planning fund for which applications were required. Proposals were selected based on their support of, or contribution to, the new strategic direction. In spite of this progress, many of those interviewed felt the existing system continued to inhibit change, with the colleges held accountable to their boards according to traditional timelines and expectations.

Prior to establishment of the strategic planning fund, new initiatives were funded by cost savings, reallocations, and new gifts or grants. Interview data provided examples of a blend of approaches. On an institution-wide basis, reductions achieved by cutbacks and restructuring in some administrative areas provided opportunities for growth in others. Most felt, beyond the increased funds dedicated to plant improvements, more resources were directed toward administrative areas such as admissions, student life, and advancement. Increased financial aid allocations were supported by increased tuition revenues and transfers from auxiliary enterprises. Instruction and academic support budgets were augmented by new technology, a campus-wide computer project, the science building, and related equipment, all of which were funded out of repair and replacement reserves, bond issues, and new gifts and grants.

Vice presidents were generally left to manage their own areas, some making concerted efforts to redistribute resources and others not. Shifts in staff responsibilities was cited by several administrators as a way they increased efficiencies and were able to expand their activities. A redesign of staffing patterns allowed the new student center to open with a reduction in staff. In student affairs, advancement, and auxiliary services cost savings were also effected by combining some activities with the brother institution. Reallocations also occurred in terms of the attention paid to certain issues.

Changes in allocations for academic initiatives were less successful. One faculty member was pragmatic about the possibilities, observing that shifting resources was difficult when most of the resources were committed to tenured faculty. Institutions make a 30 year commitment, far beyond the planning horizon, based on current day trends rendering significant reallocations impossible. Faculty believed funding for faculty development rose substantially, partially due to an intentional commitment by the institution.

New gifts were another means by which projects were funded and the financial posture of the college improved, the capital campaign being the most obvious.

Faculty felt the administration had done a great job of expanding the asset base and developing new sources of revenue. A grant from the Federal Institute for Post-Secondary Education (FIPSE) supported faculty efforts to engender the curriculum, a major foundation gift funded the multi-year leadership project, and several other outside grants provided additional monies for faculty development activities.

College Management: Institutional Advancement. Efforts to increase gifts of all types, particularly in support of plan objectives, were very successful. A $26.4 million capital campaign, launched in 1990, was the principle means by which this was accomplished. As outlined in various development office publications, the campaign sought to raise $14.2 million for facilities, $6 million for endowment, and $6 million in annual fund contributions.

Internal records, publications, and interview data all gave evidence of significant progress. By Spring 1995, $22 million had been raised through gifts and pledges. Actual monies received for capital expenditures, not including pledges, totaled $6,441,013 for the years FY89 through FY94. The annual fund topped $1 million in FY90 and the number of donors jumped 37 percent, to 5,211, that year alone. This level of giving was sustained, with the annual fund reaching $1,307,622 in FY94. Although participation rates fell in FY93 and FY94, they remained well above levels of the 1980s.

The endowment nearly doubled between FY85 and FY94, as evidenced by IPEDS data, increasing 98 percent from $4,213,228 to $8,333,042. Growth was reportedly accomplished through appreciation, new gifts, and transfers of excess revenues from auxiliary services. Development records showed new endowment gifts totalled $2,220,526 over a six year period from FY89 through FY94, and financial statements confirmed a history of fund transfers.

Campaign priorities, and the designation of gifts received, clearly supported institutional goals. Efforts to fund plant improvements first was cited as a conscious decision intended to bring the campus to a level where it needed to be in order to be competitive. Funds raised for areas such as faculty development were usually donor-

driven. It was stated that once funding for facilities was secured, efforts shifted to other priorities, principally endowment.

A 1988 feasibility study recommended numerous changes in the advancement program, many of which were implemented, according to administrators. The staff was enlarged, professional qualifications improved, and the board profile was strengthened. However, the study questioned the potential success of a campaign at that time and cautioned against such an undertaking. The college chose not to heed that warning, and as already indicated, went ahead with a $26.4 million fund drive.

Other changes cited were an improved computer information management system, better quality publications, more cultivation of individual donors, and shifts in messages. Communications changed in that the college became more aggressive in asking alumni to give. A review of various publications showed the messages also changed to support campaign priorities. A focus on women and the sciences was tied to the campaign for the science building, and a joint publication with the brother institution boldly solicited $10 million in support of technology upgrades while it also demonstrated a global, information-based approach to the liberal arts and underscored the academic coordination of the two institutions.

College Management: Facilities. The goal was to provide buildings, equipment, and an overall environment which would enhance the educational enterprise. Specific projects identified were additional faculty and office space, a new science building, computer equipment, expanded athletic facilities, and areas for student recreation. College catalogs, alumni publications, written reports, financial records, and interview data provided strong evidence that all objectives were achieved, and documented additional improvements.

A comprehensive plan for the phased expansion and beautification of the campus was completed in 1985. Although costly, the president was committed to implementing it and obtained the funds to do so. The main administration building and former library were renovated in 1988 providing additional classroom space, faculty and administrative offices, a public reception hall, and meeting areas. Two

new residence halls were opened in 1987 and 1994, and a new science center opened in 1992. A new student and recreation center was under construction and targeted for completion in early 1995 to include a new formal entrance to the campus. Other projects included major roadways, walkways, and landscaping.

Data provided by the president's annual reports revealed the college developed a five-year preventive, deferred, and corrective maintenance plan in 1990. In 1991, an energy management system was implemented, the existing front entrance improved, new plantings and landscaping completed, a new photo lab opened, and a student lounge area created. Handicapped access and signage improvements were made in 1992, the cafeteria renovated, dining halls redecorated, and a new joint telephone system installed.

The technology project, cited in interviews and written reports, called for a $5 million investment by each institution over a five year period, funded both by contributions and special budget allocations. An integrated cabling plan linking both campuses, consisting of data, video, telephone, and electric service, was developed in 1990 and completed in 1992. A tour of the campus gave evidence of numerous, well-equipped computer labs in academic buildings and dormitories, networked library systems, and a single inter-campus telephone system.

According to those interviewed, the way in which plant needs were addressed represented a significant shift in attitude for the college. Previously, improvements were made only to the extent resources allowed. Beginning in the mid-1980s, the best changes possible were made and funding sought accordingly. The result was not simply the addition of new buildings, but the construction of beautiful, functional, well-built buildings. The facilities were not only more substantial, but created a more attractive environment for those who lived, worked, and studied there.

This shift in attitude, combined with the upgrading of the physical plant, had multiple benefits. The new library better served the curriculum, new and renovated facilities helped student recruitment, new classrooms and equipment enhanced the academic program, and new dorms better served students. As the physical plant came

to more closely match that of the brother institution, the confidence and self-image of the college grew. As one vice president described it, the upgrading of the campus allowed the college to approach the coordinate relationship with strength, not as a lessor partner, and the success of the joint endeavor was occurring in part because the college had proved its worth. Thus, the focus on plant improvements became one of the most significant strategies moving the institution forward.

Implementation

The president reported using the 1987 plan for five years to guide her presidency. She, in turn, directed the vice presidents to build their goals on the plan and asked them annually to evaluate what had been accomplished and what still needed doing; a process confirmed by the senior staff. The president took oversight responsibility for implementation of the plan, but admitted that the scope of presidential responsibilities precluded careful attention to specifics. Although there was little evidence of written operating plans, the president's annual reports provided extensive detail about actions taken in support of the plan. Her evaluation by the board was reportedly based on these achievements, and senior staff were, in turn, held accountable through their end-of-year reports. In these ways the plan was formally reviewed and evaluated.

Several administrators said the plan guided their operational planning, not because they regularly referred to the document, but because the president kept the goals in front of them. One vice president observed that the plan was based on a set of shared core values which influenced people's choices and actions, thus contributing to the implementation of the plan. Another stated the plan unconsciously "informed rather than guided one's work." Senior staff changes were another means by which plan objectives were achieved. Some administrators were replaced because of their lack of initiative or inability to move in the directions outlined. The capital campaign also served to implement the plan with priorities designed to support the major projects outlined therein.

Budgeting decisions were admittedly not carefully linked to plan objectives although progress was made in later years to integrate the two processes. Regardless, many noted that the 1987 plan was not heavily resource dependent, except for plant improvements, with many initiatives requiring an intentional shift of focus more than resources. Where monies were needed, funds were raised or reallocated.

Early implementation of academic objectives was reportedly inhibited by political constraints and routine faculty demands. This view was contradicted by others who noted that such circumstances were not unique to academic affairs, yet they acknowledged certain political difficulties when working with two institutions. The change in leadership and subsequent mandate by the two presidents facilitated changes in this area. Change, however, did not occur without some tension as the rapidity of movement made it difficult for some to adjust, and faculty became anxious about their fit with the future character of the institution.

Factors Influencing Observed Results

Although various administrators were recognized as contributing to institutional change, the president was repeatedly cited as the key factor. It was her vision, leadership, and tenacity that moved the institution forward. Characterized as a strong individual, clearly in charge, the president was also described as supportive and encouraging. She was admired and held in extremely high regard by everyone interviewed.

A transition in the presidency had negligible impact on the 1987 plan, given the new president's long-term affiliation with the institution and involvement in the process. Although the new president was different in personality and orientation, many felt a sense of progression rather than change. But it was the new president who aggressively pursued the coordinate relationship, and all of those interviewed cited her leadership as pivotal in what followed. A subsequent change of presidents at the brother institution further contributed to the increased cooperation and integration of programs, services, and finances. Both presidents were described as

visionary; people willing to struggle with the realities of today to achieve their visions for tomorrow. Both were believed committed to planning and achieved plan goals because of the ways in which they focused their time and attention.

Other administrative appointments and changes in the organizational structure also contributed to the results achieved. Staff changes created opportunities for the president to hire senior officers capable and interested in implementing the goals she had for the institution. Given her expectations, several indicated that they in turn hired directors and department heads to do likewise. By 1992-93 the president asked the vice presidents to become more horizontal in their communications and work, delegating routine responsibilities to others. This led to an increased focus on institutional matters. In turn, staff members were encouraged to work more collaboratively to solve problems across functional lines. All vice presidents were described as committed to planning and active in implementing institutional goals. The president described them as "owning the future of the college."

Participation in the 1987 plan was limited, confined almost solely to senior staff. Although faculty were informed at various stages and received a copy of the final document, it was unabashedly a management-driven process. Given the heavy focus on issues easily addressed by administrators, broad participation may have been unnecessary. Faculty members indicated minimal interest in institution-wide planning, with several applauding the administration for taking such a leadership role. Instead, their priorities focused on teaching, working with students, and academic program quality. Yet they recognized that planning helped the institution better respond to external pressures and changes.

The planning effort formally launched in 1993-94 involved a wider range and number of participants to include faculty, staff, students, and alumni. The president felt the time had come for broader participation, and the process involved more people in a more deliberate way. There were numerous opportunities for input at the grass roots level, and cross-institutional discussions occurred frequently. Yet, the president found the new process much more difficult to manage and at times

confusing with too many simultaneous initiatives. She believed the faculty role was best devoted to teaching, citing their involvement in planning as not very useful except when it applied more directly to their work.

The entire process of planning was perceived as having become systematic and ongoing across a wide range of functions and groups. Through the president's commitment and encouragement, others engaged in planning within their functional areas. Several of those interviewed felt that recent planning strategies, built on the foundation created by the 1987 plan, demonstrated the evolution and growth of the organization. They also believed the nature of planning had evolved. The earlier management-driven process gave way to one far more inclusive of others and cognizant of external realities.

In a culture defined as collaborative, interdependent, discursive, and rational, the 1987 plan was viewed both as bold and conservative. The plan itself was described as a rational, value-laden document which carefully mapped out goals and the action steps by which they were to be achieved. It was bold because it took a new, more comprehensive and formal approach to management of the institution and its future. Further, it laid down in one place a set of initiatives that required far more resources than the college had a history of securing. Others cited the plan as conservative in that it followed predefined biases in its emphasis on women's education and Benedictine values, and because it built on a set of core values which influenced the opportunities embraced. By comparison to the more dramatic move toward coordination, it was viewed as particularly conservative. Yet, all remarked that the 1987 plan was a necessary precursor to the bolder plan which followed.

The subsequent coordinate-institution strategy was described as a particularly bold vision. Traditional ways of thinking and acting were challenged and new paradigms created. The result was some discomfort, tension, and anxiety about the uncertainties ahead.

Several specific factors were also cited as contributing to the observed results. The expansion of facilities was driven in part by enrollment and faculty growth

requiring more dorms, classrooms, and offices; as well as by student demands for quality. The focus on women's development grew out of the legacy of being founded by and to serve women, as well as the changing gender roles evolving in the larger society. Diminution of the religious community motivated concerns about maintaining Benedictine values. New marketing approaches and a more effective use of financial aid contributed to enrollment success. Those aspects of the 1987 plan not implemented were believed to be those which lost importance as the institution evolved and other goals gained priority.

Summary

All of those interviewed felt that most of the 1987 plan had been achieved, some claiming it was very effective. Although not every objective was implemented, plan goals were very much achieved as shown by the data, and the institution continually improved as intended. Successes of the 1987 plan also served to inspire the president, thus becoming a springboard to what followed. The general sentiment was that the institution was on firmer financial footing and enrollment, although slightly smaller, was stable with better students.

There was ample overlap in what many saw as the key strategic initiatives and what they identified as the most significant changes at the institution. The vast majority cited transformation of the physical plant and the coordinate relationship as the most pronounced changes. Secondarily, many pointed to a better quality student body, and a few cited increased institutional confidence. Administrators cited plant improvements and the cooperative relationship as the key strategic initiatives which drove the institution; faculty cited attention to gender, faculty development, fund raising, and upgraded facilities.

While current planning was described as a more unified, intentional way of functioning, the 1987 plan was repeatedly credited with laying the foundation for future plans, most especially the current bold step toward coordination. It clearly pointed to the future and where the college ended up going.

College C

Setting and Institutional Profile

College C is an independent, coeducational, liberal arts college in the Catholic and Jesuit tradition. It is located in the heart of a major, urban, industrialized center of the Northeast which is characterized by an ethnically diverse working class population, aging buildings, and a tenuous economic base. The college has and continues to serve a large immigrant population, the majority of whom constitute the first college-educated members of their family. An off-campus center targets the adult learner population, drawing from area businesses. Most of the 3,500 students commute via public transportation with 40 percent of the population enrolled on a part-time basis. Although primarily undergraduate, the college offers programs at the associate, baccalaureate, and masters degree levels.

As described in various documents and by those interviewed, the mission of the college has been to educate city and suburban youth according to the Jesuit and Catholic intellectual and spiritual tradition. This connotes a balancing of the needs of mind, body and spirit, a nurturing of values, and an adherence to the development of the skills that 'liberate' through the liberal arts. Further, as a Jesuit institution, the college is dedicated to meeting students' individual needs, most especially through personal counseling, academic advising, developmental and academic support programs, and career services. Finally, service to its local community is fundamental to the mission of this institution.

In 1986, CAPHE records showed that the student body was characterized as increasingly urban, with declining test scores and growing developmental needs. The changing profile of the student body reflected comparable changes in the demographics of the surrounding area. With 88.5 percent of its students from in-state and 70 percent from the immediate county in which it was located, a continuing decline in the size of the traditional college-bound population caused the college to initiate efforts to expand its recruitment pool and enter the resident student market.

The college also recognized that new commercial and residential developments in the region would bring more professionals to the area, presenting opportunities for new enrollments. However, in 1986 as the college began the CAPHE-funded strategic planning initiative, it still drew the majority of its population from low-income households in the immediate area with approximately 40 percent of the students coming from homes with an annual income of $15,000 or less.

The student body was reported to be highly motivated but pragmatic. The majority worked, and did do so in order to earn their college tuition. Because many were first generation Americans, they came to the college academically under-prepared. Hence, the strong emphasis on meeting students' developmental needs.

A tour of the facilities showed that this was an institution with few, if any, luxuries. The ten-acre campus was physically compact, covering approximately two city blocks, with every available space put to productive use. Buildings, while old, appeared sturdy and well-maintained. The architecture, interior spaces, and furnishings were simplistic and utilitarian with none of the grandeur, elegance, or refinements found on many other campuses.

This lack of spaciousness and abundance was offset by a strong sense of pride and an earnestness and purposefulness that evoked admiration. Although one sensed both personal and institutional struggles, there was also a strong sense of accomplishment with the expectations of both students and staff rooted in a realism of what was and was not possible.

The ethos of the institution was multi-faceted. Conservative and paternalistic, it eschewed a formal, rational system of governance and decision-making. Diverse and intense, it exuded friendliness and concern for the individual. One sensed an institution always on the edge. Financial records and interview data confirmed that both the institution and its students struggled to make the best of the financial and human resources available, often resulting in hard choices.

Planning Process

In 1988, although operating for many years with balanced budgets, the college was experiencing a trend of continuously declining enrollments and increasing budgetary constraints. There was a serious need to expand the applicant pool and reduce the number of students requiring developmental assistance. In addition, the college sought to draw from a wider geographic sphere and attract resident students. Strategic planning, viewed as a systematic approach to decision-making, was chosen as the vehicle by which to address these and other issues.

Several of those interviewed described the institution at that time as a college in jeopardy, facing serious contraction. Others recall planning as a proactive effort to look toward the longer term future and project possibilities based on the realities of the external environment. One former committee member recalled the focus as improving effectiveness in the classroom and of the overall operation of the college, while another suggested that the plan may have been a reaction, in part, to recommendations outlined in the 1983 self-study and accreditation team review. All recalled that declining enrollments, student preparedness, and the constrained financial condition of the college were matters of concern.

At the time strategic planning was undertaken, planning documents indicated that a College Planning Team, consisting of administrators and faculty representatives, was already in place. With the support of the CAPHE planning grant, an off-campus planning retreat was organized. Packets of statistical information and trends were distributed to participants, and an outside consultant addressed the group to set the context for the ensuing process and discussions. Following this initial session, the planning team recommended that a new planning structure be created. Subsequently, a Strategic Planning Committee was formed.

The Strategic Planning Committee was composed of the four senior administrative officers, the President of the Faculty Senate, three elected faculty members, and staffed by the Assistant to the President for Planning. It was chaired by the Academic Vice President. Both document and interview data indicated that the

President of the college did not participate in the planning process in any way. The result of the work of the committee, the 1988-91 Strategic Plan and a corresponding Plan of Action, were forwarded to the President, who reportedly remained uncommitted to plan objectives.

It was the intent of the committee that executive level administrators would be responsible for implementation of the Plan of Action. Efforts were to include the development of detailed proposals and budgets, to be approved by the committee with priorities forwarded to the President for approval and inclusion in the institutional budget. This concept of an integrated planning and budgeting cycle was to be fully operational by fiscal year 1990 (FY90).

The formal plan document included a thorough summary of external realities facing the institution and an assessment of relevant internal realities, thus incorporating two key elements considered necessary to a comprehensive strategic planning initiative. Several administrators described the process as highly structured, institutionalized, and ongoing. Some saw it simply as an educative process, others remembered it as a process unsupported by the president and never fully embraced at the senior staff level. Regardless, it was a process largely exclusive of faculty. Interview data confirmed that faculty were vaguely aware of the planning process, but there was no evidence that the committee reached out to the larger college community for counsel or recommendations. The plan document was distributed to faculty and staff. While some felt it provided necessary direction for the college, they reported there was little reaction, positive or negative. Thus, as suggested by many of those interviewed, there was little ownership of the plan or effort to implement it.

In Summer 1990, there was a change of leadership at the college. Following the appointment of a new president, a new planning initiative was undertaken. The college, faced with continuing enrollment declines and a rundown physical plant, was in a tenuous state. Thus, soon after his arrival, the president launched an "emergency planning effort" to address what he and others assessed to be a critical juncture in the life of the institution. The process, which involved senior administrative staff only,

was reported to have been initiated and concluded within a few weeks. By the president's own admission, this initiative, which he led, was not consultative in nature but undertaken to respond to a crisis situation.

This activity led to a document later referred to as the 1990 Strategic Plan. The College Planning Team was reported to have reviewed the content, but did not substantively alter it. Subsequent planning documents indicated the plan was endorsed by the Board of Trustees in October of 1990. By all reports, it replaced the 1988 plan. Although the document was much shorter and less formal, it explicitly and cogently set forth the principle initiatives which were to guide the activities of the college over the next few years. As one vice president observed, it was less of a plan and more a series of action steps addressing the key problems in very concrete ways. It was, by all accounts, a presidential document.

Then, in 1992, as the college readied itself for the decennial accreditation review, a third strategic plan was drafted as part of the comprehensive institutional self study. The Strategic Planning Committee was assigned responsibility for addressing the issues of mission, goals, and governance, and further explication of some of the issues outlined in the 1990 plan. Planning records indicated that the committee was chaired by the Academic Vice President and consisted of six faculty and three administrators. In addition, a series of planning days and workshops were held, over a period of many months, involving other faculty, administrators, and trustees. The final document was intended to serve as the foundation for the subsequent Self Study Report. In conjunction with this activity, a Facilities Master Plan was completed in late 1992.

The 1992-97 Strategic Plan, now the third in a series of official plans developed by the college since 1988, was approved by Board of Trustees in the Winter of 1993. Planning records showed a proposal for implementation and, like its predecessors, the introduction stated that it would be reviewed and updated annually.

From the very beginning the new president took an aggressive leadership role in planning, at the direction and with the support of the board. The vice presidents

were, in turn, expected to take actions necessary to implement the plan. Several administrators, new to the college in recent years, reported that both the 1990 plan and the 1992 Facilities Master Plan were discussed extensively during their interviews with the clear expectation that the objectives outlined therein would guide their work.

An outgrowth of this succession of planning activities and the accreditation review process was a comprehensive academic planning effort begun in 1994. This latest initiative was described by those interviewed to be a much different process - far more inclusive, deliberative, and collaborative than its predecessors; a partnership between administration and faculty to address issues and make changes in the academic program. It was also begun at a time when the institution was more optimistic about its future, less constrained budgetarily, and for the first time in recent history, growing.

Throughout the period of the study, faculty felt the various strategic planning processes were not well-integrated with ongoing committees and activities. Not only did planning stand apart from the governance structure, but was managed by relatively small groups of individuals. Many acknowledged, however, that the crisis situation facing the new president required bold and decisive action. Further, they credited him with later allowing the institution to move to a more inclusive process dealing with substantive issues of interest and concern to the faculty.

Because of the successive nature of planning at this institution, the content and outcomes of each of the various plans warrant analysis in the context of the study.

The Plans

The formal document for the 1988-91 Strategic Plan consisted of several parts: a summary of external and internal factors affecting the future of the college, a vision statement, the strategic initiatives guiding the plan, six goals and related objectives, and a Plan of Action. The format and style of the document suggested a thorough and well-reasoned process.

The vision, a quest for excellence, was to be achieved through the following strategic "aims": (a) improve the quality of life of the college and its environs, (b) enhance the Jesuit and lay partnership, (c) strengthen the undergraduate curriculum, (d) serve the special academic needs of students, (e) reach out to minority communities, and (f) improve teaching and learning in urban schools.

The 1988 Strategic Plan then set forth six specific goals, each supported by a series of objectives, intended to lead toward fulfillment of the mission of the college. As evidenced by the rhetoric, the "goals" were topic headings rather than statements of intended change:

1. Academic excellence.
2. Admissions, enrollment, and retention.
3. Outcomes assessment.
4. Partnerships
5. Staffing.
6. Fiscal and physical resources.

The Plan of Action portion of the document outlined specific priorities and action steps designed to help achieve the six goals. While activities outlined bore some relationship to the preceding goals and objectives, there were also incongruities. Further, there was no discernable relationship between either of the two sections, or with the vision statement or key strategic aims articulated at the beginning of the document. The result was an uncoordinated set of activities attempting to meet an array of needs, rather than a simple, clear strategy, or direction of movement, upon which the subsequent activities built.

Objectives for some of the goals were more focused and precise than those for others. Likewise, some of the action steps were specific while others were general. Only the admissions goals were quantified with explicit numeric targets and timetables.

The 1990 Strategic Plan outlined the severe enrollment problem facing the college, the consequent loss of revenue, and the resulting inability of the institution to

continue supporting programs at then present levels. This report, although much briefer, also considered relevant enrollment and fiscal data. It did not include quantitative objectives, timetables, or measures against which to assess future progress.

The document outlined the pursuit of quality as the principle thrust of the plan, with increased enrollment, and thus increased revenues, as the key initiative by which quality would be achieved. Specific objectives listed in the 1990 Strategic Plan document were organized by functional areas, but with an obvious connection to the changes intended:

1. Increase enrollment, requiring additional residential facilities, an attractive campus, and an aggressive admissions marketing plan.
2. Financial planning, to be coordinated with academic planning for 3-5 year periods, considering all variables related to tuition and salary increases, and requiring alternative plans for facilities usage should residential facilities become under-utilized.
3. Academic planning, targeting a more effective and efficient use of faculty resources, a gradual reduction in the number of faculty, elimination of unsound and financially inviable academic programs, development of new programs with strong potential for growth, and increased salaries to more competitive levels.
4. Student life changes, including dormitory-style residence facilities, expanded professional staff and support services, and expanded co-curricular activities and facilities to meet student needs.
5. Development efforts to increase financial resources, and launch a capital campaign.

Although several of those interviewed cited academic quality and a financially sound institution as the ultimate goals, all recounted that enrollment growth and an improved physical plant became the driving strategies. The President confirmed that enrollment, plant, and dormitory facilities were his priorities and the strategies by

which he felt the pursuit of excellence could be achieved. He and others described the 1990 plan as pragmatic, intended to break the institution out of its decline and move it forward again.

The 1992-97 Strategic Plan was less clear in terms of major strategies. Although it returned to the more formal style of the 1988-91 document, it was unfocused and less coherent than either of its two predecessors. The stated purpose of the plan was "to enhance the stature and reputation of the college as an outstanding liberal arts college in the Jesuit and Catholic tradition". It was followed by a list of 14 goals, with a page for each containing a section on "rationale" and an action plan, or list of activities, for its achievement. A review of the 14 goals revealed they fell into six major categories or topic areas:

1. Increase enrollment, in the day, evening, and graduate programs.
2. Strengthen student life.
3. Continue to improve campus facilities.
4. Strengthen the academic program through curricular enhancements and revisions, technology, and better faculty.
5. Deepen the Jesuit and Catholic identity of college.
6. Enhance financial strength through improved fund raising, use of resources, and fiscal policies.

Although elements of the plan had a deliberate purpose and were tied to the mission of the institution, the plan was too broad to be strategic. As one faculty member observed, it represented a lot of good work but was overreaching. Interview data showed that by the time the 1992 plan was developed, things had already begun to turn around at the college. Thus, some elements of the plan simply articulated changes already occurring while others outlined a plan to plan. Like its predecessors, the document contained few quantifiable measures.

Analysis of all three plans showed some consistent themes. Enrollment was a primary objective throughout all three plans. The need for expanded dormitory facilities was addressed in both the 1988 and 1990 plans with the 1992 plan outlining

the need for broader physical plant improvements. Academic excellence was identified as a major objective of each of the plans. However, the 1988 and 1992 documents placed more explicit emphasis on enhancing academic programs than did the 1990 plan. Both the 1988 and 1992 plans also emphasized the importance of the Jesuit nature of the institution. Although fiscal resources were mentioned in each, the 1990 and 1992 plans actually focused on strengthening the financial position of the college. Student life was also a theme in both the 1990 and 1992 plans.

Results

Results, as ascribed to the various plans, tended to merge together. Thus, following a brief discussion of results relating to each plan, the study will evaluate major institutional changes relating these to the various plans as appropriate. Specific sources of evidence for the outcomes reported in each of the specific plan summaries are more fully documented in the discussion of overall results.

Results: 1988-91 Plan

The 1988-91 plan essentially sat on the shelf. The president remained unsupportive, there was no ownership among key stakeholders nor motivation to implement the plan. Many objectives were resource dependent, but no funds were available to implement them. Knowing there were no resources, administrators reported they regarded the plan as irrelevant. Data vouchsafing results of the plan were obtained from interviews, IPEDS and internal reports, and written records including a 1989 Progress Report.

In the area of admissions, enrollment, and retention the college sought to reduce the percent of entering students classified as needing developmental assistance, increase the number of Black and Hispanic students, attract larger numbers of adult learners, reduce attrition, and expand the resident student population. Although a market analysis, image survey, and admissions audit were conducted, each offering numerous recommendations, enrollment goals were not achieved. Data from the 1993

Self Study and IPEDS reports showed that freshmen enrollment continued to decline, from 472 in Fall 1986 to 409 in Fall 1990, as did total undergraduates and full-time equivalents (FTEs). The academic profile for entering freshmen, as measured by SAT scores and rank in class data, did increase slightly in 1990; and there were increases in all minority groups during this period. The number of resident students did not increase, but remained stable. Retention data were insufficient to draw any meaningful conclusions. Those interviewed reported that the admissions office lacked both sufficient funding and the professional expertise to identify and implement appropriate recruitment activities.

The goal of academic excellence, to be achieved through initiatives such as an expanded honors program, academic support services, expanded partnerships, and creation of new programs, went largely unaddressed. Although improvements were made in existing programs and some new endeavors undertaken, these were arbitrary and disconnected. No evidence was found to indicate that accessibility to the honors program was broadened nor were new programs added to the curriculum--with the exception of a degree in laboratory science in collaboration with a nearby medical school. A major partnership initiative outlined in the plan was already underway, but not formally launched until January 1989. There was no evidence that the project led to similar programs in other academic areas, or new cooperative ventures, as intended. Efforts such as the writing across the curriculum program and electronic mail were also in progress at the time the plan was developed, and were reported to have continued forward based on the pre-existing interest and commitment of those faculty members who initiated them.

Other objectives also went unaddressed. Conversion of the library cataloguing system stalled, due to a lack of funding. Likewise, no changes occurred in the procedures for outcomes assessment. A neighboring apartment building was purchased in 1989 to provide space for additional resident students, and new athletic fields were constructed in collaboration with the county department of parks and recreation. Efforts to create a link between plan priorities and the budgeting process

were reported unsuccessful, and IPEDS data indicated that revenues from gifts and grants varied little during this period.

Although a number of the goals set forth in this plan were eventually achieved, interview data indicated that relevant changes were not related to implementation of the 1988 plan. Rather, most resulted from activities growing out of the 1990 planning initiative. As noted by those interviewed, the problem was not the plan itself but the total want of resources to execute it, the lack of presidential interest, and the sense of resignation which pervaded the campus.

Even though the 1988 plan proved ineffective, several of those interviewed claimed it left an important legacy. The college-wide retreat helped people develop a sense of what needed to be done and how to do it, and the entire process taught the college about planning. Without it, some felt the college would not have moved forward as it eventually did.

Results: 1990 Plan

The 1990 plan was largely implemented through the sheer tenacity of the new president. He never erred from his vision to arrest and reverse the deterioration of the college. While resources remained scarce, the president and chief financial officer developed a five year program of deficit spending to fund initiatives. As the plan unfolded, two key strategies emerged: an emphasis on enrollment and improving the physical plant. Although not widely owned, stakeholders saw the wisdom in these two strategies, and repeatedly cited the dramatic changes which occurred as a result.

Within a year following creation of this plan, freshmen enrollment began to rise, from 409 to 466 in Fall 1991 and again to 484 in Fall 1992. Total headcount also increased, from 3,356 in 1990 to 3,567 in 1992. FTEs rose similarly from 2,446 to 2,565. Data showed that the number of resident students also rose from 187 in Fall 1990 to 277 in Fall 1992.

The increased enrollment resulted from a commitment of considerably increased funds for staff, travel, advertising, research, and scholarships, and the

priority accorded it by the president. The director of admissions was replaced with a new, experienced professional. The recruitment plan was expanded to include more local and regional travel. Faculty and alumni were enlisted to call prospective students. A geo-demographic analysis conducted in 1991 provided the college with a profile of successful students and identified pockets of students possessing similar characteristics. A comprehensive marketing plan was developed which included radio, billboard, and magazine advertising. Additional scholarship monies were used to attract and enroll better quality applicants. In addition, in an effort to improve the academic profile while continuing to serve students with developmental needs, the college established a separate associate degree program for under-prepared students. The recruitment effort also benefitted from an increasingly attractive campus and the decision to build a new dormitory.

Financial planning occurred in the form of a three to five year budgetary plan which forecasted a draw down from the quasi-endowment to fund admissions and the much-needed plant improvements. The plan projected gradually increasing losses, to be replaced as enrollments increased and more tuition dollars were generated. As reported by the chief financial officer, the plan worked very well. The projected deficit of $500,000 for the first two years was never realized because enrollment targets were quickly exceeded and excess tuition eliminated any need to borrow from the endowment. The college also benefitted from a favorable investment which funded many of the subsequent plant improvements. Although coordination of financial and academic planning was not investigated, interview data suggested this did not occur.

In the academic arena, formal planning was not undertaken in the years immediately following creation of the 1990 plan. Early in 1991 the president appointed a new academic vice president, directing him to focus primary attention on the admissions program. During the next few years there was a slight reduction in faculty, from 120 to 117, due mostly to attrition, and the departments of classical and modern languages were reported to have been consolidated. Beyond the new

associate degree programs, there were no other major programmatic changes until 1994. Perhaps the most significant achievement related to specified plan objectives were three successive years of seven percent faculty salary increases, as reported by those interviewed and Self Study documents.

The heightened commitment to student life was evident in several ways. Property for a dormitory-style residence was obtained, construction plans were launched, and an agreement was reached for the future acquisition of an additional facility for student housing. The position of vice president for student affairs was created, thus elevating the visibility and status of this area. Interview data and written records indicated that programming and services were expanded, as were co-curricular activities and facilities to meet the non-academic needs of students.

The fund raising objectives of the 1990 plan were not successful. A new appointment in the position of vice president did not work out. Revenues from gifts and grants did not increase during the next three years, nor were plans drawn for a new campaign.

Thus, the major elements of the 1990 plan were achieved. Although the 1992 plan soon followed, extending and augmenting the objectives of the 1990 plan, it was the key strategies of the 1990 plan which continued to guide the institution through 1995.

Results: 1992 Plan

A clear assessment of this third strategic plan was more difficult because of the limited span of time since its creation and the ambiguity between it and the 1990 plan. Nonetheless, perhaps because of the overlap, the 1992 plan achieved positive results, most notably in the areas of enrollment and physical plant.

Graduate program and freshmen enrollments continued to grow while the undergraduate evening program struggled and attrition problems affected overall totals for full-time students. Efforts to enhance the quality of student life and better integrate activities for residents and commuters progressed. Improvements in the

physical plant continued apace to include landscaping and renovations of the cafeteria, student lounge, and several new houses acquired through gifts.

In financial areas, tuition and financial policies were pursued which generated revenues to support various goals of the plan. Another staff change was made in the leadership for development which led to a restructuring of the operation, more concentrated and aggressive fund raising activities, and increased gifts and grants.

The area left wanting was the academic program. Earlier advances in technology waned, new programs were reportedly developed not for their academic merit but for their ability to generate revenues, and the curriculum remained largely unchanged from previous decades. It was not until the 1993 re-accreditation review that the college began a serious evaluation of the academic enterprise. While some decried the lack of earlier consideration, others suggested what preceded was a necessary prerequisite to effective and successful academic planning.

Results: Overall

Since strategic planning was inaugurated in 1988, the enrollment and physical plant were the areas in which change was most dramatic--the institution grew substantially larger in both regards. Interviewees reported that, as a consequence, the institution regained its sense of purpose. The resident student component became a reality, the recruitment base broadened, and the college acquired more of a campus feeling. It was a wide-held perception that the college also gained visibility and its reputation improved. The state of decline, which had impaired morale, was reversed. In its stead was a climate marked by progress and momentum.

Enrollment. Any analysis of enrollment data was less than straightforward given the multiple categories and classifications of students. Enrollments were reported by full-time and part-time status, day and evening, undergraduate and graduate, main and satellite campus, full-time equivalents, and credit hours. Some figures were also broken down by admission category or included remote-site courses offered on a periodic or demand basis.

In general, little changed in the enrollment picture until 1991, following which there were marked changes not only in the numbers of students, but in their ethnicity, geographic origins, and academic abilities as well. The college, almost singularly a commuter college, developed a healthy residence student population.

Evidence obtained from IPEDS data, the 1993 Self Study, and multiple internal reports indicated that in nearly every category enrollments dropped continuously, with a few minor exceptions, from 1984 through 1993. Those numbers began to reverse in Fall 1994. The exception was graduate student enrollments which increased over 200 percent in full-time equivalents during the ten year period.

Even with substantial growth in graduate student numbers, total headcount decreased by 13.4 percent between Fall 1984 and Fall 1993, from 4,022 to 3,483, and the total number of FTEs dropped by 14.6 percent, from 2,959 to 2,528. However, total headcount increased a modest 2.2 percent between Fall 1993 and Fall 1994, and total FTEs by 6 percent from 2,528 to 2,680. It was anticipated that these numbers would continue to grow as the college benefitted from increases in freshmen enrollment during these latter years.

Freshman enrollments, also in a state of continuous decline since 1984, began increasing in Fall 1991. Prior to that time the number of freshmen fell from 498 in 1984 to 409 in 1990, a drop of 18 percent. In Fall 1991, the number of entering freshmen increased to 466. That number rose annually to 608 by Fall 1994, representing a 48.7 percent increase over the four year period following the 1990 "emergency" strategic plan. Data obtained from the 1993 Self Study showed a corresponding pattern in applications which decreased 22.5 percent between 1982 and 1990, then rose 58 percent during the succeeding four years.

The geographic distribution of students also changed, although not as significantly as might be expected given expanded regional recruitment efforts. Looking at the geographic origin, where known, of full-time undergraduates, the number of in-state students decreased from 88.9 percent in Fall 1984 to 83.6 percent for Fall 1994. Out-of-state students rose from 4.7 to 6 percent while the proportion

of foreign students increased from 2.7 to 6.5 percent during this same period. More notable was the growth of in-state students from outside the immediate and adjacent county. The proportion of full-time students from these two counties fell from 85 percent in Fall 1984 to 75 percent in Fall 1994, with the major shift occurring between Fall 1991 and Fall 1992. As targeted in the 1992 plan, the student body was becoming more geographically diverse.

Efforts to increase the proportion of Black and Hispanic students, an objective articulated in the 1988 plan, showed favorable results with recent publications citing 25 percent Hispanic, 11 percent African American, and 9 percent Asian American. In Fall 1988, IPEDS data indicated that 30 percent of the full-time undergraduate population came from various minority groups. By Fall 1994 those from minority backgrounds had grown to 46.5 percent. More specifically, during the years from 1988 to 1994 Hispanic student enrollment went from 16.1 to 25 percent, Black, non-hispanic students from 8 to 13.2 percent, Asian/Pacific Islander students from 5.8 to 8 percent, and American Indians from .1 to .3 percent.

As already noted, most of these changes did not occur until after development and implementation of the 1990 plan. Although the 1988 plan outlined various action steps and provided for market analyses and program recommendations, interview data and the 1989 Progress Report indicated few new initiatives were undertaken. Heightened recruitment activities, common at many institutions for decades, were absent. There were no attempts to draw visitors to the campus through open houses, receptions, or special days, and many high schools throughout the state went unvisited. Although the college received a three-year foundation grant to assist the admissions effort, the amount proved insufficient for any major project and was used instead to fund a direct mail campaign. There were no merit scholarship programs to help attract a pool of better quality applicants, and the college seemed unaware of the federal funds for which economically disadvantaged students were eligible.

Thus, aspirations to arrest declining enrollments and reduce the proportion of under-prepared students went unaddressed. Not until 1991 did the college begin to

recognize that it needed to identify its particular market, recruit those students, offer scholarships or grants as incentives, and invest heavily in a marketing-oriented admissions program. The combination of increased resources and the 1991 appointment of a highly capable admissions director were cited as key factors in reversing the enrollment picture.

Administrators reported that the college committed significant resources to a local advertising campaign, using newspaper advertisements, radio spots, and billboards to attract part-time, evening, summer school, and graduate students. They also cited numerous other changes. The fall travel schedule was expanded to include the entire home state, and targeted areas in contiguous states and other regions of the northeast and mid-atlantic. Magazine advertisements were run in publications targeted to reach the traditional college-bound population. Prospect names were purchased from national testing service data banks.

A review of admissions literature from 1984-85 through 1994-95 indicated that beginning in 1991 there was a shift in recruitment messages. The long standing emphasis on the virtues of a Jesuit education gave way to a focus on career preparation and post-graduate success. There was also a shift in how the institution positioned itself geographically, with greater emphasis placed on its proximity to a renowned corporate and cultural metropolis.

Budget data confirmed that expenditures increased markedly from FY90 through FY94. During this period there was nearly a four-fold increase in the admissions budget with total allocations rising 280 percent, from $446,788 to $1,696,560. The advertising portion of the budget grew even more substantially, jumping from $106,056 in FY90 to $493,516 in FY94 for a increase of 365 percent. Recruitment and promotion, reported as a separate line item beginning in FY92, rose 179 percent from $181,034 to $505,114 over a two year period. Reports that the number of professional staff also increased were not confirmed by the evidence.

In Winter 1995, leadership in this area changed again. This newest admissions officer indicated that the department finally had an adequate budget, the necessary

staff, and sufficient experience using an array of recruitment techniques to evaluate and choose among those most effective. While optimistic about day and graduate program enrollments, he expressed concern about the evening program.

Efforts to increase the number of adult learners, as outlined in the 1988 and 1992 plans, were not successful. Data indicated that undergraduate enrollments at the satellite campus, as measured both by headcount and credit hours, declined slightly during the period from Fall 1990 through Fall 1994. The total number of students dropped 4.4 percent, from 452 to 432, and credit hours declined by 9.1 percent, from 2,396 to 2,177. As one interviewee noted, contrary to earlier expectations the already crowded marketplace was fated by the exit of major corporate employers and a diminishing population of adult learners. By contrast, graduate student enrollment at the satellite campus during this same period increased by 77 percent, from 26 to 46 students, and graduate credit hours grew by 65 percent from 137 to 226. The growth both here and on the main campus exceeded targets set in the 1992 plan with FTEs rising from 78 to 236 between 1984 and 1994.

A 1992 goal to increase day session enrollments by 50 students per year also fell short. The total headcount for undergraduate students enrolled in the day session at the main campus did increase from 1992 to 2137 during the two year period between Fall 1992 and Fall 1994, with a corresponding increase in the number of credit hours taken. However, when coupled with the decline in satellite campus and evening program undergraduates, the result was a net loss in the total undergraduate population. The increase in the combined total of all students was due to the increase in graduate program enrollments. These varying patterns of results suggested that the goal setting exercises for the different programs occurred independent of each other, as did implementation efforts.

Given its urban mission, a heterogeneous student body, and a tradition of personal attention, the college long served the needs of academically disadvantaged students. Both the 1988 and 1992 plans sought to decrease the proportion of these students. An array of support services and developmental courses served students'

needs, and two special admissions classifications were used to designate students. A large, institution-defined program targeted students who were under-prepared academically while a smaller, federally-funded program supported similar students who were also economically disadvantaged. The 1988 plan outlined a reduction in the larger group to 30 percent of the entering class, and set goal of 10 percent as the maximum for the federally-funded group. The intent was not to change the fundamental mission of college by ceasing to admit students with developmental needs. Rather, many felt that diminished resources made it no longer possible to serve significant portions of these students well. Further, the preponderance of such students was perceived as having a negative affect the recruitment of traditional students.

The 1993 Self Study stated that the proportion of entrants in the regular admit category reached a low point of 49 percent in 1990 but increased to 56 percent for the class entering in 1992, leaving 44 percent of the freshmen designated as having developmental needs. Enrollment in the federal program was reported to have remained stable at 12 percent over a five year period. This corresponds to information given by several administrators stating that the federal program was limited to 55 freshmen, a figure which constituted about 10 percent of subsequent freshman classes. The Self Study Report further related that the group supported by college-funded services fell slightly over the two year period from 1990 to 1992. An analysis of the limited data provided suggested this group would have numbered between 125 and 160 students. Somewhat contradictory information emerged from the interviews. Several persons claimed this program was now capped at 60 students, leaving 80 percent of the freshmen classified as meeting the normal guidelines for admission, based on grades, test scores, and related measures. Others reported the percent of under-prepared students decreased due largely to the considerable increase in the numbers of new students meeting traditional academic norms. Although the actual figures were conflicting, it appeared that the proportion of under-prepared students did decline.

Retention was identified in both the 1988 and 1992 plans as an area requiring attention with a five percent per year reduction in attrition specified in the 1988 plan. Although data obtained from institutional reports were inconsistent with those reported in the 1993 Self Study, this appeared to be an area of little success. In spite of an eventual reversal in freshmen entrants, the college faced a considerable attrition problem during the 1992-93 academic year, negatively impacting enrollment figures.

The data indicated there was a significant decline from freshman to sophomore year in the group of under-prepared students entering in Fall 1992. Further, the continuation rates from the sophomore to junior, and junior to senior years dropped for all classes entering in 1990, 1991, and 1992. Finally, the four year graduation rate dropped for students in all admissions categories for the classes entering Fall of 1987 through Fall of 1990, from 43.9 percent to 23.9 percent. The five- and six-year graduation rates, however, increased from 39.1 to 48.4 and 47.8 to 52.6 percent respectively.

Interviews suggested this subject was the focus of much discussion but minimal action. Task forces and planning sub-committees repeatedly addressed the problem. Cohort groups were tracked, focus groups conducted, and extensive data collected. The receipt of a three-year, $90,000 grant to improve retention reportedly spawned a "massive" effort. Yet, no one felt there was a coordinated effort or commitment which successfully addressed the issue.

Physical Plant. Every piece of evidence supported the extensive commitment to, and changes in, the physical character of the college. Buildings were acquired, a dorm constructed, facilities renovated and refurbished, the grounds landscaped, and the college transformed to create more of a traditional campus environment.

Both the 1993 Self Study and interview data revealed numerous changes. Most significant was the acquisition of land and construction of a new dormitory which opened in Fall 1993. This dorm, the first constructed for such a purpose, was reported to have had a tremendous psychological effect on the institution. A second dormitory, opened in Fall 1994, was acquired from the Jesuit religious community.

A stately residence, now housing the admissions operation, was acquired and renovated in Spring 1993. Another such structure, used by the president and for various college functions, was acquired and renovated in 1993-94. These various buildings extended the physical presence of the college along the boulevard on which it sat, increasing its visibility to the community. New banners and external lighting also better marked the college and added to the campus-like feeling.

To better meet student needs, an area of the athletic center was converted to a health and fitness facility in the fall of 1992, the cafeteria was remodeled during the summer of 1994, and a student lounge area was renovated to provide gathering and recreational spaces. A quadrangle area was created between the library, athletic center and academic buildings, various areas around the campus were landscaped, decorative fencing was installed, classrooms were painted, and the campus was reported to be generally better maintained. New athletic fields were acquired.

Audited financial statements, institutional budgets, and IPEDS data showed that the institution acquired significant additional debt from 1990 through 1994 consisting of mortgages and loans acquired in FY90, FY93, and FY94 and $11.2 million in facilities revenue bonds issued in 1992. These documents also confirmed that the amount spent on maintenance and operations increased substantially after 1990. From 1985 through 1990 expenditures remained fairly constant at $1.6 to $1.7 million per year. In 1991 that figure jumped 11.4 percent to $1.9 million and increased again by 20.2 percent in 1993 to $2.3 million. However, in relation to the overall budget, monies spent on plant operations as a proportion of total expenditures actually decreased from a high of 8.3 percent in FY85 to 6.7 percent in FY94. Both the president and chief financial officer reported that a unique investment opportunity occurred in the Fall 1990 which produced $2.5 million by the spring of 1992. This windfall allowed the college to allocate $500,000 per year, over five years, toward the aforementioned improvements.

Academic Affairs. As already noted, far less attention was devoted to improvements in academic programs and services, with changes occurring in small,

incremental ways. At times, goals of the various plans seemed somewhat at odds. A reduction in programs was contrasted by outlines for new majors. Faculty and administrators worked independently, each pursuing their own agendas. Budgets remained stagnant, with any new grants resulting from initiatives by individual department heads. Only in 1994 did planning beginning to drive the academic dimension of the institution.

Divergent from a 1990 plan goal to eliminate programs which were not academically sound or financially inviable, there seemed to be a haphazard pattern of program proliferation. There was no evidence that the college considered program mix and quality with attention paid to issues such as faculty credentials, professional expectations, curriculum, or academic support. Curricula were evaluated at the departmental level through a cycle of five year reviews, instituted prior to strategic planning, but without consideration of relevance to the overall academic program. Outcomes assessment continued to rely on alumni and recent graduate surveys, placement records, attrition studies, and erratic departmental information. There was no centralized or systematic analysis of teaching effectiveness and student learning.

College catalogs showed that the core curriculum remained unchanged from 1984 through 1994, and only modest differences occurred in degree programs. At the bachelors level, American Studies was added in 1986, Classical Civilization in 1992, and International Business and Trade in 1994. A degree in French was dropped. Associate degree programs in Finance, Humanities, and Social Science were added in 1992. Faculty noted that new masters level programs were welcomed, with expansions reported in business and education. New programs in accounting and international business were approved but not yet implemented, and a masters in nursing was being investigated. However, such initiatives were cited as coming from the departments, not as part of an overall plan. Faculty also claimed new programs were not supported financially, but relied instead on the use of existing staff.

Activity in most areas occurred quite independent of the 1988 strategic plan, and most projects were not viewed as strategic initiatives. Distance learning was

successfully promoted through a special institute, funded by a state grant, offering programs for K-12 teachers in school districts across the state. Movement into the technical area was aided by several classrooms equipped with interactive video, but a lack of funds prohibited further additions. Instead, the use of these multi-media classrooms was expanded through faculty workshops. The goal of internationalizing the curriculum, first articulated in the 1988 plan, was under discussion, but constructive action had not yet been taken.

With regard to academic support services, some lost resources while others gained. Both faculty and administrators reported that attention continued to be given to the developmental needs of students. Writing across the curriculum, an initiative begun in the late 1980s, gained wider acceptance as faculty became convinced of its effectiveness and chose to convert courses beyond those officially designated. Services offered by the tutoring center were expanded, computer equipment updated, and use of the program was said to have doubled. Budget records showed allocations for the tutoring program rose 39 percent from FY90 to FY94. However, resources for the academic advising program dropped by 33 percent during this same period.

In the mid-1980s academic computer networks had been created with the aid of outside grants. However, this early progress waned as the budget for academic computing remained unchanged for the five years from FY90 to FY94. Budget records showed that increased salary expenses were offset by corresponding decreases in equipment expenditures. The computer center, housed in a basement location, was networked with eight small computer labs located around the campus. A total of 94 computers were available for use by a student body numbering 3,500. A small lab in the library basement was independent of the network and not well-used. The new dorm was wired to tie into the network, but the necessary equipment had not yet been purchased. While the academic vice president stated that growth in tuition revenues had enabled the college to invest in technology for the faculty, faculty members reported many among their ranks remained without immediate access to such equipment.

The 1988 goal to automate library services was not realized and staffing levels declined. A grant obtained in Summer 1994 finally provided the funding needed to purchase and install desired equipment with the project scheduled for completion in 1995. Between FY90 and FY94, IPEDS data showed that the total number of library staff decreased from 23 to 18.7, a drop largely accounted for by a reduction in professional librarians from 9 to 5.6.

In comparison to a 65 percent rate of growth in total E and G expenditures between FY85 and FY94, allocations for instructional purposes increased only 38.4 percent, from $6,631,751 to $9,181,190 according to IPEDS data, the major portion of which was allocated to salaries and benefits. Interview and self study reports cited salary increases for full-time faculty of 7 percent for FY92, FY93, and FY94 and 5 percent for FY95. Consistent with these reports, budget records also showed increases, although the percentages varied. These data, which included adjunct as well as full-time faculty, reflected increases of 6, 4.3, 12, and 6 percent for FY91, FY92, FY93, and FY94 respectively. Internal budget records further indicated that supply and expense allocations decreased by 19.8 percent between FY90 and FY94, from $209,383 to $167,962, with 12 of 31 departments and offices showing losses.

The size and complexion of the faculty remained relatively unchanged. IPEDS data revealed that the number of full-time faculty fell from 126 to 119 between FY87 and FY90, but then declined only by two, to 117, during the next four years. Not until Fall 1994 did the size of the faculty drop more substantially to 111. Implementation of an early retirement program was unsuccessful due to a lack of resources.

Although some departments reportedly sought diversity, the number of women and minorities remained low. The number of full-time female faculty remained fairly stable, fluctuating only slightly between 25 and 30 since FY83. However, as the total number of faculty declined, the proportion of women increased from 20 percent in FY85 to 27 percent in FY94. This compared to a full-time day student population of which 55 percent were women. Ethnically, IPEDS data showed that 93 percent of the

faculty was caucasian in FY94, a marked contrast to the diversity of the student population. Of the 7 percent from minority backgrounds, two were African American, one Asian, and five Hispanic. There had been little change from a decade earlier. A committee on race and gender was formed to address this issue, but faculty differed on how best to do so. While some reported a lack of institutional commitment and low salary levels, others wanted to retain the freedom to hire the most qualified applicants, irrespective of race or gender.

Overall, the academic program appeared to lack focus and resources. As summarized by one administrator, by 1990 the college was looking for faculty to attrit. Course enrollments were small, undesirably so in some cases; classrooms lacked the necessary critical mass; and budgets were stagnant. However, with the subsequent growth in enrollment, faculty began to feel more secure, more elective courses were reintroduced, and better student credentials motivated revisions of syllabi. Some modest staffing increases were approved and the college stood poised to make a much-needed investment in the academic enterprise.

Student Life. A substantial increase in the resident student population, expanded campus activities, a wider array of support services, and an increased commitment to both varsity and recreational sports were all evidence of the tremendous growth in the student life programs. Although the 1988 plan targeted an increase in resident students, it addressed none of the issues related to such growth. The appointment of a new president in 1990 brought a shift in emphasis, toward meeting student needs. Many of those interviewed believed this area grew tremendously thereafter, a perception born out by various reports, documents, and budget information.

Internal reports detailed the growth of resident students, from 187 in 1990-91 to 392 in 1994-95. During this same period the number of beds grew from 187 to 468 with substantial increases occurring in Fall, 1993, and again in Fall, 1994, due to the opening of two new dorms. The proportion of freshmen who resided in campus housing rose from 16 to 27 percent during this time.

IPEDS data showed expenses for student services, inclusive of admissions, rose 114.6 percent between FY85 and FY94, far exceeding the 65 percent growth rate for the total E and G budget. Total salaries as listed in institutional budgets, exclusive of athletics, increased 31 percent between FY90 and FY94. Further, supply and expense budgets increased 42.2 percent. The data indicated that major increases were in campus activities, campus ministry, student insurance, a summer orientation program, and the financial aid office. Interview data and personnel listings in college catalogs for the years 1989 through 1994 indicated overall staffing levels remained stable, although there were shifts between functions. The creation of an office for residence life and a director of campus activities were offset by staff reductions in campus ministry and counseling services.

Budget records and college catalogs also confirmed interview findings that the athletic program grew substantially during the period from FY90 through FY94. The salary budget increased by 67 percent and the number of coaches increased by 3 from 25 to 28, principally due to the addition of coaches for women's soccer, swimming, and tennis. A football program was added to aid in the recruitment of students. The operations budget portion of the budget, including equipment, uniforms, and travel, increased by 52 percent from $800,820 in FY90 to $1,219,103 million in FY94 with significant increases beginning in 1991. The expanded intramural program required more resources, as did an increased commitment to women's sports. The number of athletic scholarships increased. All changes were reportedly linked to the 1990 and 1992 plans.

Historical documents and interview data indicated that the 1990 plan was analyzed to identify implications for student life staffing and programming. The 1992 plan and 1993 Self Study documents were evaluated similarly with needs outlined for facilities, activities, and support services. These analyses were then used to reorganize staff and manage the work of the division. Each office prepared annual goals and objectives, tracked programs and participation, and submitted annual reports. The philosophy and delivery of counseling services changed, composition of

the professional staff moved from all men to an even ratio of men and women, inter-office collaboration increased, technology was used to deliver some services, and resources were shifted to create efficiencies and better meet student needs.

The 1993 Self Study, and annual reports for the offices of career counseling, residence life, recreation life, and counseling, confirmed an array of activities. Student newsletters, the student newspaper, and student handbooks all included information about career programs, intramural and varsity athletics, counseling tips and services, campus ministry activities, features of the Jesuit tradition, and a variety of clubs and activities. The number of student organizations appeared to remain constant, although there were changes in the type of clubs reflecting diversification of the student population. It was not possible to determine what changes occurred in activities and support program as compared to earlier years, with the exception of recreation life, which reported that the number of events rose from 18 in 1991-92 to 30 in 1993-94 with a corresponding increase in participants from 340 to 479. These data supported the assertion that the growing resident student population required more intramural and recreational programming. Development of a fitness center also served to address this need. Although many changes were attributed to the greater number of resident students, commuters benefitted as well and additional efforts were made to integrate activities for the two groups. As noted earlier, the cafeteria was renovated in 1994 and a multi-purpose center created in 1993, featuring a lounge area, snack bar, and game room. These improved facilities served both populations.

In spite of the many successful enhancements to student life, staff emphasized the need to educate others that student affairs not only assisted in the attraction and retention of students, but was an integral partner in the education process.

Jesuit Character. The number of Jesuits among the faculty steadily declined over two decades, according to institutional trend data. Jesuits comprised 22 percent of the faculty in the mid-1970s, 16 percent in the mid-1980s, and 14 percent in 1992-93. This continuing decline was a major factor driving concern about the preservation and transmission of the Jesuit character of the institution.

Faculty and administrators espoused a deep and abiding commitment to the liberal arts tradition and Jesuit heritage of the college. They described conscious efforts, formal and informal, to weave ethics, values, and philosophy into subject matter and discussions with students. They cited the individualized attention given students. Most administrators reported coming from Jesuit or nearby institutions, thus bringing with them a commitment to, or familiarity with, the liberal arts and service orientation of the college. A committee on Jesuit identity, discussions held during new faculty orientation, a tradition of elder Jesuit faculty serving as mentors taking new faculty to lunch, and leading faculty in spiritual exercises were all mentioned as examples of efforts to preserve the Jesuit heritage of the institution. Although small in number, the Jesuit presence on campus was reportedly very evident. Budget records showed allocations for a coordinator for Jesuit identity from 1990 forward, but there were no records providing similar information for the period prior to 1990. A campus ministry newsletter announced events, masses were held daily, and the student newspaper contained articles on various dimensions of the Jesuit tradition.

The evidence suggested that efforts to preserve the Jesuit heritage of the college continued. There was no comparative data available to determine what changes may have occurred in this area from the previous decade.

Fiscal Matters. As compared to the mid-1980s, the financial position of the college in FY94 could be judged more tenuous. The budget base grew, but so too did the reliance on tuition income. Deferred maintenance problems were addressed, but maintenance costs rose with the addition of new facilities. New buildings required additional debt. The endowment rose but remained small, and so too did endowment income. The fund raising program began generating increased gifts and grants, but with no history of sustained support. Yet, most of those interviewed felt the institution was as financially sound or better with extensive plant improvements and substantial salary increases having also occurred.

Up to 1990, tuition increases were kept to a minimum, the college administered no need-based aid except for federal and state funds, faculty salary

increases were meager, academic departmental budgets had been frozen for a decade or longer, and any budget surpluses were redirected to the quasi-endowment. Some surpluses were spent on the purchase of adjacent properties, but the budget was premised on a declining enrollment and the investment in the college and its future was non-existent. As one interviewee noted, programs were driven by the budget rather than the budget driven by programs.

Yet, given accumulated reserves, the new president had some resources with which to undertake his 1990 plan. Because the budget left little opportunity for a shifting of resources, a five year program of deficit spending was prepared. However, in lieu of the $1.5 million projected for this five year period, deficits totaling $500,000 were incurred for FY93 and FY94. Instead, astute financial management, increased tuition revenues, and unexpected investment income helped fund plan priorities.

From FY85 to FY94, the budget grew from $20.3 million to $34.5 million. IPEDS data and financial records showed that between 1985 and 1991 the budget increased at a modest rate of 4 to 6 percent annually. Then, from 1992 through 1994, the budget grew by 11.1 percent, 10.5 percent, and 6.5 percent respectively. As the operating budget grew, increases were not shared across the board. The 1990 plan required an increased investment in admissions, in student affairs, and in advancement. There was a major commitment to merit scholarships and debt service doubled. Although increased revenues were not targeted for the academic side, substantial increases in faculty salaries were reported.

Although the college hoped to generate additional income from increased enrollments, tuition revenues grew largely due to substantial increases in the rates charged. Data from college catalogs confirmed that tuition grew at a modest rate between 1984-85 and 1988-89, rising a cumulative 19.7 percent from $4,587 to $5,490. Between 1988-89 and 1992-93 tuition increased 48.6 percent to $8,160. The next year it rose an additional 12.1 percent to $9,150, and again in 1994-95 by 10.6 percent to $10,080. Yet, the college continued to rank below comparable small-sized,

moderately selective, private liberal arts colleges in the region; the latter with fees ranging from $11,800 to $13,500, as cited in a college publication.

As tuition was increased to generate more revenue, the institution became more tuition-dependent. Prior to 1992, according to IPEDS data, tuition and fees accounted for approximately 73 percent of E and G revenues. In 1992 that figure rose to 77 percent and reached 79.4 percent in 1994. This increasing reliance on tuition made the budget more vulnerable to swings in enrollment. Freshmen enrollments rose quickly after 1990, but were offset by a major attrition problem. Continued growth in the graduate program was abrogated by declines in the evening program. Thus, overall enrollment remained largely unchanged. Without large tuition increases, revenues would have remained static, constraining the resources needed to realize plan objectives.

Other sources of revenue provided little relief. IPEDS data showed that the total amount of federal and state support, both for student financial aid and grants and contracts, remained fairly constant. However, as the budget grew, government funds represented a decreasing portion of budget revenues, dropping from 16.8 percent in 1985 to 13.4 percent in 1994. This shift was acknowledged by administrators who reported that the college had become less reliant on government aid.

IPEDS data further revealed an erratic pattern of gift revenue with substantial declines for five of the six years between FY85 and FY91. Following a high of $2,437,890 in FY85, reportedly due to campaign contributions, gifts from private sources declined dramatically for the next three years, by 39.6, 18.4 and 10.1 percent respectively. In FY89 donations surged 44.6 percent, dropping off again in FY90 and FY91 by 25.8 and 10.1 percent respectively. The result was a mean decline of 9.9 percent over this six year period. Since FY92, receipts climbed annually by 16.3, 42.7, and 14.3 percent to a total of just under $2 million, representing 6.2 percent of FY94 current fund revenues as compared to 12 percent in FY85. Annual reports showed that from FY84 through FY91, corporate and foundation gifts nearly equalled, and occasionally exceeded, alumni support.

Between FY85 and FY94 the book value of the endowment grew, from $2.08 to $9.34 million, an increase of 351 percent. In spite of such growth, income from the endowment continued to represent less than one percent of budgeted revenues.

In the area of expenditures, financial statements and IPEDS data showed that debt service, as noted by the financial officer, increased substantially. Although indebtedness on the physical plant declined from $8.4 million in 1984 to $7.2 in 1990, it increased to $8.8 in 1991 with the purchase of additional property and then to $18.7 million in 1994 with the issuance of $11.2 million in facilities revenue bonds. Mortgages and loans payable, as separate from the bond obligation, grew from $641,358 in 1989 to $4,760,795 in 1994. Payments for interest and principal rose from $684,279 in 1984 to $970,000 in 1994.

The overall E and G budget, according to IPEDS data, grew 65.2 percent between FY85 and FY94. During this same period, financial aid expenditures rose 138.4 percent, student services - inclusive of the admissions operation - increased 114.6 percent, while instruction grew by only 38.4 percent. Instruction, as a percent of annual E and G expenditures, fell from 34 to 28.5 percent thus confirming interview data that resources for the academic program did not increase apace.

Student aid, as noted, became a more significant expense, increasing from $2,225,382 to $5,305,669 between FY85 and FY94. From FY85 through FY91 the rate of growth averaged 8.8 percent annually. In the three years from FY92 through FY94 the mean increase was 20.2 percent per annum. The impact of these increases on the budget was reflected in scholarship aid as a percent of expenditures. During the period from 1985 through 1991 the amount spent for financial aid ranged of 11.2 to 12.4 percent of E and G disbursements. Since 1992, that portion of the budget devoted to financial aid grew to 13.6, 14.9, and 16.5 percent respectively.

A more detailed analysis of the data revealed that virtually all growth in the financial aid budget came from unrestricted operating revenues, as opposed to increased monies derived from federal and state sources. In FY85 the college spent $2.2 million of which $675,494 came from institutional resources. By FY94 the

amount spent for scholarships and grants had risen to $5.3 million of which $3.5 was from current operating funds. From FY85 through FY91 the mean increase in institutional allocations was 18.8 percent per year. For FY92 through FY94 the mean increase was 23.7 percent per year. Interview data indicated that these dramatic increases were aimed at recruiting more students, especially better prepared ones. The financial officer noted that although controls were instituted and the budget carefully monitored, there was not yet sufficient data with which to forecast future trends. Further, while endowment for scholarships had grown, the base was still quite small.

Interview data indicated substantial increases in budgets and staffing levels for athletics, student affairs, admissions, advancement, and academic affairs. As previously outlined, athletics received considerably more resources including the hiring of additional coaches and an assistant manager for the athletic center. Likewise, budget data for admissions and student affairs showed increased commitments to these areas as well. Internal budget reports also showed that the advancement budget, inclusive of salaries, increased slightly more than 23 percent over the five year period from FY90 through FY94, from $753,205 to $927,384. However, catalog data for the years 1989 through 1994 suggested that the number of administrators remained fairly constant for most offices. Student affairs stayed at 20 professionals, admissions increased from 10 to 11, development grew from 9 to 10, financial aid remained at 4, and the satellite campus held at 5. Only academic affairs showed a notable increase from 2 to 5 professionals.

There were no major shifts of allocations within academic affairs. Administrators contended the college needed to move slowly in this area; faculty felt few were willing to make the necessary tough decisions. Some resources were added to the graduate programs, as demand required. Other departments with greatly expanded enrollments were said to be working with budgets unchanged from the previous decade. While the number of full-time faculty was slightly smaller it was not vastly different from five years earlier. What changes did occur were not tied to

plan objectives and no major cutbacks were cited. The new academic plan was expected to drive future long-term financial planning.

The budget process changed following the arrival of the new president. While reports varied, all agreed that faculty involvement was greatly diminished with the president taking a much stronger role. The budget committee, which previously recommended guidelines prior to creation of the budget, now functioned more as an advisory group. Overall, increases in budgets and staffing were consistent with priorities of the 1990 plan and, as several noted, the president was definite about spending unbudgeted excess revenues on those priorities.

Implementation

Although many structures were in place to address issues identified in each of the plans, little initiative or action was taken until enrollment began to increase--raising hopes and generating increased revenues. The 1988 plan went unimplemented, due to a lack of resources, a lack of commitment, and a sense of resignation. In 1990, a new president arrived with a vision and a willingness to spend the resources necessary to achieve it. While the president cited the work of staff and constant attention paid to institutional priorities as key factors, others attributed success to the president's own determinedness and decisive action. His commitment evoked in others a sense of obligation to take action and implement strategies.

Those interviewed concurred that few outside the senior administration were deeply aware of, or invested in, the 1990 plan, even though it drove the institution in many ways. Perhaps because the plan lacked a substantial academic component, it did not require broad ownership to accomplish its objectives. The building program was personally operationalized by the president. Similarly, various efforts to increase enrollment were directed by the president and vice president. Student affairs staff developed detailed operating plans by which to implement 1990 and 1992 plan objectives. The lack of specific operating plans in other areas may have been unnecessary since so many of the changes outlined were so clear and so urgent.

Resources to fund the plan were obtained through use of the quasi-endowment, an investment windfall, and increased tuition revenues. Fund raising efforts were not aggressive and contributions were just beginning to be an important source of revenue.

Factors Influencing Observed Results

Presidential leadership was, indeed, a key factor at College C. The interview data indicated that the president in office at the time of the 1988 plan was fiscally conservative, risk-aversive, and lacking in vision. He tolerated, but did not embrace, planning. As a result, much initiative and creativity was sacrificed.

By contrast, the president appointed in 1990 not only pursued planning vigorously, but took the financial risks necessary to make the plan a reality. His five year tenure was described as effecting "radical, profound change." The plan represented his vision. He owned the plan; he passionately pursued its objectives. He not only increased enrollment and improved the plant, but he infused people with hope and the desire to make the college a better institution.

The transition in the presidency resulted in a number of other leadership changes which also contributed to disregard of the 1988 plan. Following the appointment of a new academic officer in 1990, the admissions director was replaced in 1991. A new student affairs officer was appointed in 1990. A new advancement officer, hired in 1990, was replaced in 1993. These new administrators were both professionally competent and willing to embrace the president's plan. The change in presidents also marked a change in the management of the institution. Senior staff interacted and discussed issues across functional lines, and worked as a team with the president. However, the role played by these administrators in achieving the noted results went largely unrecognized by others.

Participation in planning was limited. Although faculty were aware of the process in both 1988 and 1990, they had little input. Initially, faculty were relatively uninterested in planning. Few believed the 1988 plan would bring about change.

Faculty involvement in planning consisted primarily of departmental reviews. Interest in planning, and concerns about a lack of participation, began to grow after the 1990 plan when the condition of the college began to improve. Faculty and administrators, all of whom admired his vision and achievements, described the new president as a micro-manager and someone who acted unilaterally rather than collaboratively. As one faculty member explained, under the previous president all departments were equally poor, but under the new one some areas were favored over others with increased resources directed toward non-academic areas. Although the 1992 plan represented a more inclusive process, involving greater numbers of faculty, it remained largely an administrative initiative which built on 1990 plan objectives.

The evidence suggested that some at College C understood certain essentials of a well-managed, continuous planning process. The lack of consultation, however, left many feeling disenfranchised. The 1988 plan was owned by neither the president nor those who created it. The 1990 plan was owned by the president. Ownership for the 1992 plan was unclear. A comparison of interview data to written records revealed that few were really familiar with the scope or substance of the plans. Most could not recall key strategies beyond the emphasis on enrollment and plant. By contrast, only the most recent academic planning process, as yet unfinished, included broad participation. Numerous focus group meetings, campus-wide forums, and 16 subcommittees served to involve a large group of stakeholders. Yet the entire process, reported as valued and appreciated, was also said to be stressful and at times overwhelming.

The nature of the plans themselves may have contributed to the level of implementation and results of each. Neither the 1988 or 1992 plans articulated a clear set of priorities that fit together in a logical, coherent way. The 1990 plan, while it set out to remedy the enrollment problem, also lacked a clarity of emphasis. Further, even though institutional priorities became obvious, there was little relationship between what was on paper and what really happened.

Summary

In 1988, College C was an institution in serious decline. In 1994 it was an institution clearly optimistic and confident about its future. The college was unquestionably much improved. The physical plant was greatly enhanced, enrollments were increasing, the philosophy and delivery of student services were much improved, and the budget base was enlarged to include increased faculty salaries. The sense of resignation had given way to discontent with the status quo and a desire to improve the academic enterprise. Although the president's style led to some consternation, one faculty member observed "the past five years will probably be remembered as a critical period of growth in the life of institution." Had the physical plant improvements not been made and enrollments not increased, the college would probably not now be in a situation to worry about academic program quality.

Although the 1988 plan launched the use of strategic planning at the college, it contributed little to this marked change. Rather, it was the new president's vision and resolve that moved the institution forward. His commitment drove others. All agreed the president was dedicated to and involved in planning, albeit without the usual broad ownership needed to implement a strategic plan. The successful results at College C may have been due to the fact that the emergent key strategies, plant improvement and enrollment, were primarily under administrative control.

College D

Setting and Institutional Profile

College D is a four-year, independent, highly selective, liberal arts and sciences college. With over 70 percent of its 1,600 students living on campus, the college is residential in nature. It is located in a major West coast economic and cultural center. The metropolitan area is heavily populated and ethnically diverse with a strong focus on Pacific Rim economies and politics. This proximity to a vibrant trade and business center, and dynamic urban setting, provides vast resources for cultural enrichment, recreation, and community service, while also serving as an extension of the classroom. The region also informs and defines the work of the college and its vision for the future.

The 120 acre campus, designed by a noted architect, includes 53 major buildings. The scale, proportions, and arrangement of buildings contribute to an aesthetically pleasing environment but one which belies the actual mass and scope of the physical plant. Facilities are excellent, and the spacious grounds are beautifully landscaped and well-maintained. Students and faculty populate the lawns and plazas throughout the day.

The college enjoys a strong academic reputation as measured by the academic profile of its students and the honors they receive, faculty credentials and achievements, library holdings, physical plant resources, and rankings in various national publications. Students are not only gifted and academically serious, but politically and socially active as evidenced by student projects and events. Faculty are distinguished in their fields yet deeply committed to their teaching; they exemplify the teacher-scholar model. The result is a vibrant, intellectually lively, and academically rigorous environment.

The academic program is distinctive in its interdisciplinary and multicultural focus. Collaborative learning is emphasized and interdisciplinary team teaching is especially evident throughout the freshman year experience. The college promotes

student-faculty research, and a low student-faculty ratio of 10:1 contributes to rich and frequent interchange between students and teachers. Committed to building a multicultural campus, the curriculum reflects cross-cultural perspectives and encourages rigorous debate while demanding respect for cultural differences. As part of its mission to prepare students for leadership in an interdependent, pluralistic world, the college is dedicated to the ideals of community and service to others.

The composition of campus constituents is highly diverse, as evidenced both by visual observation and IPEDS data. Among students, 52 percent are caucasian, 44 percent are people of color, and 4 percent are foreign residents. Among faculty, 21 percent are representative of ethnic minorities, while 46 percent of all full-time staff come from minority cultures. Diversity also manifests itself in the variety of student organizations, guest artists and lecturers, and curricular offerings. The diverse character of the institution contributes to an atmosphere of some discomfort and tension, but also one of tolerance and understanding.

Planning Process

A strategic planning process was approved by the Board of Trustees in late 1988, soon after the arrival of a new president. The project was initiated in January, 1989, and concluded 18 months later in the summer of 1990. Concurrently, the college underwent its decennial self-study and re-accreditation review.

At the time planning was undertaken, the college was fiscally and academically sound. Lauded by the re-accreditation team for its astute money management, college records showed a long history of balanced budgets and impressive growth in endowments and physical assets. Yet there were budget constraints. New faculty positions had been curtailed and 25 percent of the Education and General (E and G) budget was dedicated to financial aid.

Both grant materials and planning documents indicated the college was seeking clarity of its identity, a greater sense of community, more racial and cultural diversity reflective of the growing pluralism in the larger society, and better market

positioning. The planning process was initiated to address these issues. Interview data confirmed these findings, citing a need to refocus a somewhat politicized campus toward the pursuit of a common, shared goal. While partially an educative process, the new president used the planning initiative to strengthen the bonds of community. Above all, strategic planning served as the means for determining how best to achieve the already emergent multicultural agenda of the college.

The planning initiative was an inclusive and open process, as documented by CAPHE records, the re-accreditation team report, and plan documents. A total of 175 participants, consisting of faculty, staff, students, alumni, trustees, and private citizens, were involved at all levels. Representatives of each constituent group joined the president's administrative cabinet to form a 22 member Strategic Planning Steering Committee which directed the project and later oversaw the work of nine task forces. The committee was chaired by the president with activities coordinated by a full-time staff member. Written progress reports, made on a quarterly basis to the entire college community, solicited reactions and recommendations.

Planning activities began with a two-day seminar conducted by an outside planning consultant, as documented by CAPHE records and archival materials. During the next four months, the Steering Committee met in biweekly sessions to discuss and evaluate institutional conditions and external influences affecting the college. Meeting agendas showed this work was informed by input from outside educational, business, and community leaders. Subsequently, nine task forces were formed to address key issue areas, with Steering Committee members serving on the various task forces. The task force groups then met on a monthly basis throughout the 1989-90 academic year.

Archival records indicated that a variety of materials, consultants, survey results, and trend data informed the process. The final document referenced external and internal conditions affecting the college, specifically citing conditions of an interdependent, information-fed global marketplace; a growing presence of a multi-ethnic, pluralistic population; increasing competition for high quality students and

faculty; and spiraling costs for the goods and services required to produce a quality education. Those interviewed, however, suggested that the college lacked sufficient internal data to assess and project its future.

Written records showed the process set out to develop a mission statement; a set of program objectives, plans, and related costs; and methods of evaluation. By all accounts, the process was superbly designed and executed, broadly inclusive, and boldly creative.

The written plan was formally presented to the college community in Fall 1990. According to those interviewed, faculty were concerned about the omission of the Humanities from the plan document and the lack of sufficient time to analyze and debate its merits. At the president's request the faculty agreed to endorse the plan, but with the understanding that a revised version to include the Humanities would be presented to them at a later time. The Board of Trustees approved the plan in October, 1990.

The Plan

The plan proved to be a substantial document. Published in monograph form, it consisted of six chapters. The first two articulated the mission, key beliefs, and basic tenets which characterized College D and assessed its institutional strengths. Chapter three set forth the core strategies, and chapter four listed major operational strategies reflecting various functional areas of the college. Chapters five and six addressed provisions for the on-going management and financial support of the plan.

There was no evidence of a mission statement in any prior college documents, and those interviewed confirmed that no such statement previously existed. Thus, the mission as developed through this planning initiative was the first such statement of purpose for the college. The mission was to be achieved through a commitment to multiculturalism, in which excellence and equity were mutually inclusive, one impossible without the other. The phrase "excellence and equity" became the hallmark of the strategic plan and symbolized its dual intent.

The plan clearly distinguished diversity from multiculturalism, terms often used interchangeably. Actions taken to change the composition of the student body, faculty, and staff reflected efforts to increase diversity. Multiculturalism was achieved when these diverse populations were present and welcomed, when the curricula enhanced inter-cultural understanding, and when cross-cultural values transcended daily actions. Excellence would be achieved through the quality of the liberal arts education while equity would be realized by enlarging the intellectual reach and character of the community to reflect a pluralistic, global society. There was strong evidence that the focus on multiculturalism became the bold vision, and overriding goal, toward which the college aspired.

Six core strategies were identified as areas of distinction intended to drive change and enable the college to achieve a sustainable competitive advantage. The strategic initiatives by which the college sought to "achieve greatness" were:

1. Develop a preeminent performing and visual arts program, supportive of multiculturalism and fully integrated into the college community.
2. Create a new master plan to guide the improvement of campus facilities.
3. Revise the core curriculum to reflect cultural and social pluralism.
4. Create a multicultural community welcoming of diversity, respectful of differences, but informed and defined by a set of shared, culturally transcendent values.
5. Create a comprehensive program in public and international affairs.
6. Further enhance the strength and reputation of the sciences.

These strategies were intended to guide the college toward its stated vision of excellence and equity and inform the resource allocation process in support of that vision. Each was supported by a list of specific activities devised to implement the strategy. While lacking in timetables and measurable criteria, the various action steps seemed to provide a good agenda for realizing these strategies. Interview data indicated that two more strategies were later added, to address what some felt were

serious oversights: (a) quality of undergraduate life, and (b) the humanities. Yet there was no written documentation defining these strategies.

The core strategies were followed by nine operational strategies, identified as areas through which the college would improve academic program quality, thus achieving excellence. They differed from the core strategies in that they focused on the nature and performance of college operations. These issues, addressed by the task forces, were defined as follows:

1. Academic programs and support services.
2. Enrollment management.
3. External and community relations.
4. Financial affairs.
5. Human resources.
6. Institutional advancement.
7. Intercollegiate athletics.
8. Religious life.
9. Student affairs.

Each of the nine operating strategies included an assessment of strengths and weaknesses and provided recommendations for action, some of which included specific criteria and time frames.

Finally, the plan document provided for the ongoing management and funding of plan strategies. A Planning and Priorities Council was formed to manage strategies, aid the development of new ones, and oversee funding and resource priorities. Designed to be a campus-wide organization, the members and work of some existing committees would be folded into the new council, thus creating a new mechanism for comprehensive, integrated planning. A venture capital fund was established to support strategic initiatives. To create the fund, 1.5 percent of the 1991-92 E and G budget was set aside for this purpose, with additional monies to be budgeted annually thereafter. Additional resources would be sought through a capital campaign initiative, the priorities for which would be driven by the strategic plan.

Some asserted the plan was largely philosophical in nature and overly broad in that it included "something for everyone." Others expected the plan to be somewhat exclusionary and did not find the omission of a discipline a denigration of its worth, nor did they view the plan as a permanent, unchanging set of priorities.

The re-accreditation team, on-site during the planning process, noted that the vision of excellence and equity represented a major shift in institutional mission but praised the bold and propitious nature of the initiative. In seeking to combine a distinguished liberal arts education with a genuine multicultural perspective, the team commended the college for defining and clearly outlining its desired direction of movement.

Results

The absence of good documentation and quantitative data made it difficult to assess fully the extent to which changes occurred and action steps were implemented. Until 1995, the college operated without the benefit of a computerized management information system. Record-keeping was inconsistent both within and among offices, and other internal reporting mechanisms were minimal. Senior administrators did not prepare annual reports nor did the president do so for the board of trustees. Thus, this analysis relied heavily on college publications, narrative documents, and interview data to measure outcomes.

Interview data suggested the results were mixed, with only a few items implemented. A review of the evidence from all sources showed that a substantial portion of the plan was realized. Four of the six original core strategies were largely achieved, and significant changes were made in support of the primary goal to create a truly multicultural community. The analysis which follows briefly assesses the overarching strategy followed by an evaluation of the six core strategies and two of the nine operational strategies.

There was consensus among those interviewed that the college made significant progress toward achieving its multicultural agenda, albeit not without some difficulty.

Visual observations, written records, and interview data all demonstrated this to be a highly diverse campus, and one which attended to, respected, and valued the differences among people.

Diversity was achieved in multiple ways. It was most evident in the dramatic change in the composition of the student body, with substantial changes in the faculty as well. It was also visible in the range of student clubs and activities, cultural programming, religious services, bookstore inventory, and the number and scope of academic courses. As noted by several of those interviewed, actions focused on diversity were necessarily the first step in becoming multicultural. Yet, the college also made much progress toward creating a workable and productive multicultural environment.

The move toward multiculturalism was achieved not only through changes in the composition of students, faculty and staff, events, and academic programs, but in the values the college chose to tolerate and embrace, how it evaluated quality and success, and the emphasis placed on understanding and valuing the opinions and beliefs of others.

There was also evidence to indicate progress toward the excellence objectives of the plan, although many of those interviewed felt the focus on equity eclipsed these efforts. Nonetheless, several asserted that the faculty was more able and better credentialed, the academic program much improved, and student achievement continued to excel. According to admissions literature and interview data, between 1988 and 1994 the college boasted 2 Rhodes Scholars, 3 Marshall Scholars, 3 Truman Scholars, 2 Mellon Fellowships, 10 National Science Foundation Fellowships, and 11 Watson Scholars with 1995 marking the 26th consecutive year for this latter honor. From 1988 to 1993, biology students presented over 100 papers at professional conferences. Approximately 75 percent of each class pursued graduate study, and medical school admissions were a source of great pride. Several administrators noted that in 1994 alone, 7 of 8 Latino students were admitted to the leading medical schools in the country. In spite of these successes, admissions standards, using

traditional measures such as SAT scores and rank in class, declined as the college became increasingly diverse in its student population.

As challenging as the multicultural agenda proved to be, the president claimed the more important goal was to examine the relationship of the college to the world around it. That included a major commitment not only to multiculturalism but also to volunteerism, community outreach, and serving as a public policy resource. It meant getting faculty, students, and alumni to recognize how the adjacent diverse, urban region would impact the future of the college and committed to helping make that region as good as possible. There was strong evidence that this agenda succeeded as well.

The Arts. This strategy focused on developing a preeminent position in the performing and visual arts, while using the arts to further the multicultural agenda and strengthen college ties to the community. Action steps consisted of enhanced facilities, visiting artists, programming, cooperative arrangements with neighboring museums, and endowment support.

The public arts subscription series publication attested to the fact that the college served as a major venue for performing arts programming, while also furthering the multicultural agenda. Offerings for 1994-95 included a female latin jazz artist; electronic music improvisation; performances by the National Theater of Deaf, a national dance troupe, and the Metropolitan Baroque Orchestra; mime theater; woodwind quintets; classical Hispanic ballet and contemporary ethnic ballet; and play readings. Other events calendars also documented a wide array of ethnic programming such as the music of black composers and art exhibits exploring various cultural themes.

Faculty interview data indicated that the college appointed a director of performing arts to manage a newly constructed theater facility, coordinate arts programming, and reach out to the community. The latter was accomplished by bringing in artists and performers of interest to the neighboring community as identified above. However, coordination of these activities with the fine arts faculty

was described as limited, because the performing arts manager reported to the chief financial officer.

There was also evidence that the academic program in these disciplines reflected the multicultural agenda by examining subject matter from multiple cultural and global perspectives. College catalogs listed courses such as Buddhist art; Japanese painting; the art of China; African, Asian, and Mideastern music; and cultural traditions in vocal and instrumental music.

There was no evidence to indicate that the college secured endowment funds in support of the arts, that it enhanced gallery facilities, or that it established new relationships with area museums. However, the capital campaign targeted funds for a new arts facility including studio and gallery space.

College Environment. The College proposed to create a new master plan for the campus to include a unified approach for all construction and renovations, the definition and preservation of open spaces, increased accessibility for differently-abled individuals, attention to safety and environmental concerns, and an agenda for development of the surrounding community. Specific needs outlined in the various operational strategies included a student center, increased security, improved athletic facilities, expanded college housing, and a commercial services center.

Most significantly, a new master plan was completed in June of 1993, as reported in written records and by several of those interviewed, thus achieving the primary objective of this strategy. In addition, several major improvements were made to facilities, measures were taken to address security and housing issues, and capital campaign priorities gave substantial attention to plant needs. Projects included funding for landscaping; construction of a new swimming pool, student union, and arts facility; and renovation of several academic buildings. The Planning and Priorities Council was reportedly involved in helping set the priorities.

The college also made good progress toward its goal of providing spaces in which students could socialize. In 1994, as documented in various publications, funding was obtained and an existing facility renovated and converted to a student

pavilion housing a lounge, snack bar, and meeting rooms. Thereafter, a coffeehouse program was developed to provide students with an on-campus evening hang-out. The college magazine and interview data also revealed that a substantial portion of the funding for a new student center had been donated.

Physical plant improvements were also achieved through annual budget allocations. IPEDS data showed that total expenditures in support of plant operations remained at roughly $4 million during the period from FY90 through FY94. Approximately $1.3 million was allocated annually for annual repair and renewals, according to documents and interview data. A 1994 financial officer's memorandum argued for a substantial increase to the latter to reduce accrued deferred maintenance. However, a financial review by external consultants, cited in the trustee manual, advised the college that plant expenditures were quite high compared to similar institutions and any further growth should be contained.

Several improvements were made in the areas of safety and security. The employee newsletter reported a reorganization of the physical plant department to include the functions of campus safety, environmental health and safety, and transportation. Student interview data cited other initiatives, including a parking lot to dorm escort service. The program, implemented in Spring, 1994, according to a printed schedule, consisted of regularly scheduled patrols, on-call escorts, and a shuttle program. A campus safety guide dated August, 1994, outlined college policies and procedures relating to student housing, theft, sexual assault, drug and alcohol use, and the reporting of crimes.

The college-wide focus on diversity did not translate into increased accessibility for the disabled, as intended. Plant improvements in this regard were not apparent and at least one interviewee stated that no efforts were made to address this issue. A tour of the campus revealed few ramps, elevators, signage, or related enhancements to facilitate access, and many areas of the campus remained inaccessible or difficult to negotiate.

With regard to the creation of an agenda for development of the surrounding community, there was no evidence with which to assess results in this area.

Core Program and Academic Affairs. The plan sought to assure a common educational foundation which introduced students not only to the traditional philosophical and scientific questions but also to multiple co-existing cultural histories. This strategy was to be realized through faculty hiring and development, specifically in the fields of African, Asian, and Latin American cultures; new pedagogical methods; an emphasis on language study; and a multicultural, interdisciplinary, and collaborative freshman year experience. What resulted was a complete redesign of the intellectual content and structure of the core curriculum, retitled the Cultural Studies program and implemented in 1994-95. Faculty hiring decisions and resource allocations followed accordingly and this strategy was hugely successful.

The Cultural Studies program, as outlined in the college catalog and admissions literature, emphasized an interdisciplinary approach in conjunction with discipline-specific work, as a means of communicating the multi-dimensional nature of knowledge. Further, it sought to present information from both historical and cross-cultural perspectives. Major components of the program were the first-year colloquia, a freshman seminar, distribution requirements, and language proficiency. The year-long colloquia were team-taught with five thematic options available to students. The seminar course emphasized critical thinking, analysis, and writing skills. Distribution requirements consisted of a minimum of six courses; three courses focused on the study of culture and the arts through disciplinary and geographical contexts, and three courses in the sciences to include one in mathematics and one with a laboratory. Finally, students had to demonstrate proficiency in a language other than English. Thus, a significant portion of the first two years of study were devoted to fulfilling these requirements. As one administrator noted, the program sought to maintain contact with the tradition of western culture and values while simultaneously addressing a modern future.

As a result of the new core program, those interviewed asserted that the entire educational program became more multicultural in focus and faculty expertise was broadened to include the many relevant cultures. Diversification of the curriculum accelerated, course sequences were reordered, texts and materials were revised, and teaching methods changed. Over a period of several years, college magazine articles described the broadening scope of disciplinary offerings, course content, and teaching methods. The new program was described as an explicit commitment to the comparative study of culture and the interrelatedness of various fields of study. Different disciplines and cultures were integrated into single courses and broad themes guided the first-year colloquia, addressing both multicultural and interdisciplinary objectives. Student interview data suggested that interdisciplinary interests were fostered both by the academic program and the ways in which courses integrated students' co-curricular interests and opportunities.

The Cultural Studies program also served a critical role in realizing the strategy of becoming a multicultural community. In order to support the core program, widen the cultural content of the entire curriculum, and diversify the faculty, the plan also called for an increase in the size of the faculty and changing from a quarter to semester system, both of which were implemented. Implementation of the cultural studies program and the switch to a semester system provided the college with an opportunity to require faculty to revise the curriculum for all courses and majors. Several of those interviewed noted that in a symbolic gesture, the college threw out the entire catalog, asking faculty to redesign both general education and departmental programs. The result was extensive discussion and rethinking of the curriculum. A review of college catalogs indicated no other major changes in the academic program since 1989 and no effort was made to verify the extent to which specific course content changed.

Changes in the core program and an expanded multicultural focus were facilitated by diversification of the faculty. IPEDS data showed the largest changes occurred between 1988 and 1990. In FY88 there were 11 minority faculty, in FY89

there were 20, and in FY90 the number rose to 27. These increases coincided with an expansion of the faculty which grew from 124 in FY88 to 139 in FY94. While the number of minority faculty increased, the number of caucasian faculty remained stable between 108 and 110 throughout this period. After 1990 the number of minority faculty remained fairly constant, although interview data cited frequent turnover and problems with the retention of this segment of the faculty.

As the size of the faculty grew, the number of women also increased while the number of male faculty members remained stable. Thus, the percent of male faculty members declined from 68 percent in FY88 to 57 percent in FY94. The actual number of women faculty increased from 40 in FY88 to 58 in FY94, a growth of 45 percent over the six year period. As reported by the chief academic officer, the college experienced more success in its efforts to increase the number of women than in its efforts to hire more minorities. In addition to the overall number, the number of women faculty in tenured or tenure track positions increased markedly. From 1988 to 1994, the number of female full professors rose from 10 to 18, with the combined total from the assistant through full professor level rising from 37 to 50.

Administrators reported that diversification of the faculty was further supported and encouraged by an affirmative action committee, whose members served on every search committee, and by procedures requiring searches to be broad in scope and that applicant pools be tracked. In addition, the president, chief academic officer, and director of multicultural programs all interviewed finalists. Faculty members indicated they especially sought ethnic minorities who could teach specialized subjects such as African American or Chicano Literature.

Interview data and published articles attested to changes in learning styles and pedagogical methods, with examples of these changes reported in college publications. Collaborative learning and group study approaches were implemented. Small seminar groups and team teaching became a standard part of the freshman year colloquia and interactive laboratory experiences were implemented in the math and sciences. The number of faculty using group approaches and projects increased, several departments

were reported as using computer-assisted models to aid instruction, and a course in the social sciences sought to help students develop better quantitative skills by incorporating exercises using statistical analysis.

To further enhance these changes the college created a center for teaching and learning which incorporated previously available remedial assistance for students with workshops, resources, and weekly faculty seminars on teaching matters, the purpose and activities of which was well-documented in college publications. The center received additional support to expand computer resources and provide funding for faculty to attend conferences on the improvement of teaching. The college also initiated a full-day workshop, immediately preceding the opening fall faculty meeting, focused on pedagogy. It was reported that between 60 and 80 percent of the faculty now attended the workshop. The program included outside presenters addressing topics such as collaborative education or gender and diversity in the classroom; and working sessions to identify ways to incorporate such approaches. The capital campaign, initiated in 1992, included a goal of $2 million to endow the work of the center.

The operational strategy for academic programs and support services also addressed the core program, faculty size and diversity, and pedagogy as well as enhanced library access and collections and increased budgetary support for the instructional program and academic equipment. Collectively, these initiatives sought to improve educational program quality thereby supporting the goal of excellence.

The library was directed to address gender and ethnic issues by developing a more balanced collection. In 1990, the visiting re-accreditation team described the breadth and depth of the disciplinary holdings as excellent, but noted that the library needed to attend to the multicultural dimension of the collection. Little written or financial evidence was available to evaluate or verify reported changes in this area. However, interview data indicated that the college took a new approach to meet this need. Rather than adding substantially to its holdings, the college radically reallocated resources by funding technological changes and redirecting staff to work

with students and faculty on how to use various on-line services to conduct research and import documents. As an example, a shared network of materials in Chicano studies provided significantly greater resources than the college could have acquired on its own. Similarly, the number of journal subscriptions were reduced but individual articles from any number of publications could be ordered upon request. The college also entered into a consortium arrangement with a neighboring research institution in order to expand access to more and different materials.

Computerization of the library was completed in 1989, with reports that campus-wide access expanded on a regular basis thereafter. A 1994 report to the trustees documented the availability of an extensive array of on-line information services and data bases. Student handbooks stated library services were designed to provide access to information reflecting "intellectual and cultural diversity" and directed students to use on-line information retrieval and document delivery. Academic administrators stated academic departments also continued to develop the collections in ways consistent with diversification of the curriculum. This evidence suggested that more culturally sensitive resources were, in fact, available particularly through the use of technology.

The plan also called for the college to increase the percentage of the E and G budget devoted to the instructional program and academic support services, at a rate of 1 percent a year for 10 years, and for the capital equipment budget to be doubled. These recommendations were not achieved, although faculty and administrators continued to consider them important.

IPEDS data revealed that expenditures for instruction and academic support, as a percentage of E and G expenditures, actually declined between FY85 to FY88, from 41 to 32 percent, although actual monies increased. These expenditures as a percent of E and G then rose slightly from 32 percent in FY88 to 35 percent in FY94. There was a one percent increase in FY90 and two percent in FY91. This category of expenditures then fell to 34 percent in FY92 returning to 35 percent again in FY93 and FY94. There was no quantitative budget evidence to indicate whether or not

these changes were intentional, although interview data suggested they were not. Internal budget information only reported monies by eight general expenditure classifications and reporting formats changed every year or two. Further, budget figures for specific fiscal years varied on subsequent year reports. Thus, it was not possible to make valid comparisons. Nor was there any comparative information for equipment budgets. One administrator stated that figures beyond the eight large budget categories were not reviewed or tracked in any consistent manner. Another cited problems of getting clear information and differences between decisions made in the budgeting process and expenditures which appeared in year-end audited reports. Faculty members lamented the lack of progress in increasing the academic portion of the budget, but stated they intended to work hard to increase future allocations. The chief academic officer indicated that any increases in spending could be attributed to the hiring of additional faculty or the purchase of scientific and computer equipment. College magazines did list several substantial grants for new equipment.

Many of those interviewed suggested that progress toward the intended objective was impeded by the budgetary needs of the financial aid program. As the student population became increasingly diverse during the early 1990s, institutional support for financial aid rose sharply causing budgetary constraints elsewhere. Additionally, overall fiscal constraints due to smaller enrollments and reduced investment income curtailed the budget flexibility needed to achieve this objective. Several issues of the college magazine confirmed the growth in student financial aid and the consequent diversion of institutional resources.

Yet, according to written reports, deferred maintenance projects remained fully funded while several faculty positions were eliminated, library periodicals were reduced, and faculty salary increases remained small. IPEDS data tended to confirm these reports showing that while the total E and G budget rose 98 percent over the ten year period from FY85 through FY94, expenditures for instruction and academic support only grew by 70 percent and declined from 41 to 35 as a percent of the E and G budget. Comparatively, financial aid expenditures grew by 179 percent, rising

from 17 to 24 percent of the E and G budget and expenditures for plant operations grew by 99 percent, remaining steady at 10 percent of the E and G budget.

Multicultural Community. Creation of a truly multicultural educational community, the vision which shaped the strategic plan, also became the key strategic initiative driving or influencing most other activities at the college. The college wanted to transform its long-held commitment, of reaching out to those historically disenfranchised from higher education, into a living reality. This strategy envisioned a community of individuals, with diverse heritages, working and learning together. While the institution was ready to embrace diversity it did not, in hindsight, anticipate the tensions and challenges associated with becoming a truly multicultural institution. Nonetheless, the success of this strategy was undeniable and remarkable. Specific action steps included the core program, a multicultural center and residence hall, an expanded multicultural summer institute, a more extensive volunteer program, and increased international programs and enrollments.

Revision of the core program, discussed earlier, not only directly supported this strategy, but facilitated a transformation of the entire curriculum. New courses were added providing in-depth study of subjects from varying cultural perspectives. Existing courses were revised to include gender, ethnic, and global perspectives. Teaching methods were evaluated and revised to better serve a diverse array of student learning styles, and the faculty became increasingly diverse in its composition.

An office of multicultural programs was created in 1991, as documented in the student handbook and academic catalog, to advance the interests of diversity at the college. In 1992 it was renamed the cultural resource center. The facility provided students, faculty, staff, and alumni with resources, meeting facilities, and activities aimed at building community. By 1993 a multicultural residence hall, along with several other new theme areas, offered students from varying backgrounds an opportunity to learn to live together.

The multicultural summer institute, established prior to the strategic plan, helped academically disadvantaged students strengthen their skills and become

accustomed to residence life prior to the freshman year. As reported in college publications, all costs were funded by the college. Although there was no written evidence documenting changes in the program, interview data suggested the scope of the program was broadened to assist those not able to attend. During the regular academic term, summer program participants served as a support group for non-attendees who needed assistance adapting to the academic rigors and social challenges of college life. No evidence was obtained to indicate whether the number of participants increased, as intended. It was reported, however, that these high-risk students had a better graduation rate than the overall student population.

In Spring 1995, the college decided to eliminate the cultural resource center, choosing to merge its functions with student activities and career development into a student services center. As reported in the student newspaper the merger, driven in part by budget constraints, sought to provide better coordinated services and programs. Others observed that this and projects such as the special dorm, early symbols of the commitment to a multicultural agenda, became unnecessary as multiculturalism became institutionalized.

The emphasis on community service broadened considerably following formulation of the strategic plan. Although the college had long sponsored a variety of volunteer initiatives, the number and scope of programs expanded as did expectations for participation as the college sought to instill in students the desire to use their talents for the benefit of the public good. The center for volunteerism and community service, founded in 1989 as the volunteer programs center and renamed in 1991, organized community service projects and served as a clearinghouse for tutors and mentors. Brochures about the center outlined its purpose as serving the needs of the community, facilitating social change, and providing student leadership opportunities. Student-run projects grew from 14 to 21, and 7 other service programs were created. Admissions literature, student handbooks, presidential addresses, and articles in various issues of the college magazine attested to the growing emphasis on community service. Programs addressed educational, environmental, and public

health and safety issues; helping the elderly and disabled: and youth-at-risk and disaster relief initiatives. In 1994 the college was chosen to administer a $2.5 million multi-site grant to address community needs. Freshman orientation included a day of community service involving 450 students and faculty, and one interviewee stated that 50 percent of the student body worked out in the community "living out a commitment to a multicultural future." Serving the common good became an essential attribute of a truly multicultural community.

The plan also recommended an expanded international focus, an action step which proved unsuccessful. College catalogs indicated that several new study-abroad programs were added just prior to the strategic plan: China and Mexico in 1988-89 and the USSR in 1990. Although there were no further additions following the formulation of the plan, a director of international studies was appointed in 1991, according to the student handbook, in an effort to promote and manage participation in such programs. Although there was no consistent pattern of decline, internal records suggested that participation in these programs generally decreased from a high in 1989. The number of foreign students enrolled at the college also declined, from a high of 72 in 1986-87 to a low of 46 in 1991-92, but then rose to 59 in 1994-95. Exchange programs with two historically black colleges were established in 1994-95.

Beyond these specific actions, there was much additional evidence to confirm the extent to which this strategy was realized. Admissions literature, campaign brochures, performing arts calendars, the student newspaper, college magazines, and other publications all conveyed and documented an ethnically and culturally diverse environment in which multiculturalism, and the ideals which undergird it, was readily evident.

The increasing diversity of students, faculty, and staff was apparent to external constituents through photographs and written words, while also well-documented in IPEDS data and internal reports. The data showed that throughout most of the 1980s, the number of minority and foreign students remained fairly constant at about 25 percent of the total student body. Then, in 1990, that ratio began to change, and rose

sharply during the four years from 1991 to 1995, from 30 to 48 percent. The composition of freshman entrants also changed sharply after 1988-89, at which time 24 percent were non-white. By 1994-95, that figure had increased to 55 percent.

As previously noted, the number of minority faculty also rose during these years, increasing from 11, or 9 percent, in 1988 to 29, or 21 percent in 1994. Among all employees, minorities increased from 28 percent in 1989-1990 to 37 percent in 1993-94. There was almost no change in the composition of administrative or professional staff. Several administrators reported that the composition of the board of trustees was beginning to change.

Increased diversity and a multicultural orientation was also evident in student organizations, co-curricular activities, and in cultural arts programs, as noted earlier. Posters throughout the campus gave evidence of a rich and highly diverse array of activities, clubs and speakers as did many different publications. The student handbook revealed the creation of new interfaith groups, student clubs, and special celebrations to meet the growing ethnic and religious diversity, additions confirmed by interview data. Prior to the strategic plan, there were Asian, Latino, and Black student clubs; and chapel groups for students of the Protestant, Catholic, Jewish, Buddhist, Christian Science, and Muslim faiths. Following the plan, Filipino, Hawaiian, Japanese, Korean, and Vietnamese organizations were added. New events included a bisexual, gay and lesbian awareness week, valuing diversity week, Cinco de Mayo celebration, and Asian-Pacific-American heritage week. A student leader described the formation of new clubs as a vehicle by which students educated others, rather than simply serving to meet their own needs.

Activities announced in the student newspaper included a Chicano speaker, 3 different Latino organizations, an interfaith film and discussion series, and a forum on women images in media. The paper also reported the rededication of the former Chicano Studies Room in the library, renamed Imagenes Latinas in recognition of expanding diversity among Latinos, and revision of the exhibits to be more relevant. Various events calendars and newsletters listed an array of ethnically diverse

performance groups, environmental public service outings, a wide range of religious services, lectures and films focused on social issues, and support group meetings for black women, latino women, gay men, and lesbian and bisexual individuals.

Successive issues of the college magazine marked this change in focus and direction. Not only the content, but the style and design suggested a more forward thinking, evolving institution. In the mid-1980s articles dealt with a variety of academic and social issues. Beginning in the late 1980s the content increasingly included articles on topics such as cultural pluralism, profiles of culturally diverse students and alumni, and summaries of ethnically diverse guest lecturers and speakers. By the mid-1990s the magazine regularly addressed controversial issues and invited and received reader reactions.

Although external and community relations was listed as an operational strategy, it served both the college environment strategy and, more importantly, that of developing a multicultural community. The intent was for the college to be an active corporate citizen and partner in improving the quality of life of the community. In keeping with plan recommendations a director of community relations was appointed in 1991, as documented by college publications and interview data. Specific initiatives were not investigated, but interview data indicated a significant change in the relationship of the college both with the immediate surrounding community and with the larger metropolitan region.

Creation of the community relations function, initially funded by a three year grant, was premised on the belief that the welfare of both the college and the urban area in which it was located depended in part on efforts by the college to reach out and embrace the larger community. It was reported that the costs for the position were later incorporated into the regular budget. The director served as college liaison to neighborhood associations, city council, and legislative staffs at the local, state, and national levels; and attended an array of events hosted by area community and business organizations. Efforts to increase the visibility and involvement of the college were accomplished through educational programs and the cultural arts,

community service, public policy initiatives, and by bringing community organizations onto the campus. Specific initiatives reported included joint environmental projects, college sponsored conferences and seminars, and the use of college facilities by school administrators, the chamber of commerce, and similar organizations.

Reaching out to the community became a key initiative transcending several of the core strategies. By embracing the local community in intentional ways, those interviewed reported that the institution made significant strides, moving from an isolated institution to one viewed as a good neighbor and partner.

In support of the multicultural agenda, the composition of students and faculty became more diverse, the academic program was revised, library resources became more inclusive, teaching methods were adjusted to respond to increasingly different learning styles, new clubs and organizations were created in response to changing student needs and interests, guest lectures and cultural events reflected wider ethnic and gender diversity, outreach efforts embraced community needs, and college publications became more educative addressing culturally sensitive issues and offering varying perspectives.

The multicultural agenda was also realized in less explicit ways. The atmosphere imparted the sense of an institution diverse in ideology. According to one administrator, "the college not only became welcoming of diverse people, but people joined the college community knowing and willing to be challenged intellectually, emotionally, and socially by diversity."

Yet the success of the multicultural strategy was not without consequences. Efforts to become more welcoming of all cultures also led to controversy. Diversity not only enriched the college, but created conflict given an increasing array of political, social, religious, and economic views. Tension and discomfort were terms repeatedly used by those interviewed. While issues were addressed rather than ignored, in the classroom and elsewhere, discussions reportedly became heated at times. But, as one administrator suggested, the desire to avoid excessive conflict led to a dialogue of mutual respect. Another reported lots of communication and

negotiation among different faculty and student groups. According to faculty, there was an expectation that people would disagree, but not be disagreeable. Some of those interviewed expressed concern about the conflict, others found it healthy and valuable. Students were credited with being the most resilient. Conflict forced students to learn how to structure discussions and negotiate, or resolve, fundamental differences. They, particularly, did not view conflict as negative, but as instructive, and through it found they had common bonds.

Another repercussion was the disenfranchisement of a very traditional and conservative alumni population. Interview data and letters published in college magazines indicated alumni no longer felt comfortable at the college and some withdrew their support. Removal of the Christian cross from the front of the chapel, intended as an invitation to people of all religious orientations to participate in the larger pursuit of values and understanding, angered many and was viewed as a negation of the spiritual dimension of life. Administrators and faculty recognized the disparity between the movement of the college and the level of alumni acceptance, and reported they were working to improve communications and outreach activities.

Increased diversity also had admissions consequences. Because of what became an almost singular focus on equity, the message about academic excellence got lost, according to those interviewed. Although the number of minority students increased, majority student enrollments dropped significantly resulting in continuous declines in freshman matriculants between Fall 1988 and 1994.

This, then, was a college at which traditional views were regularly challenged, disparate courses of action negotiated. Controversial issues and differences of opinion were confronted with honesty but also with civility. All members of the community were expected to be full participants in achieving the multicultural agenda and those interviewed reported most were actively engaged in finding workable solutions to difficult issues. As one administrator noted, the college became diverse before it became multicultural, but that the tolerance and understanding characteristic of multiculturalism necessarily grew out of the growing diversity of peoples.

Public and International Affairs. This strategy intended to raise the profile of the college regionally and nationally by combining several existing academic programs in a center for teaching, research, and policy skills. Specifically, the college intended to become a resource for public commentary, conduct and publish public policy research, expand outreach activities, develop cooperative relationships with other organizations, and strengthen off-campus program opportunities. Those interviewed all pointed to this strategy as one which was fully implemented and impressive in its results.

The primary focus of this strategy was the creation and funding of a formal center which was dedicated in Fall 1991. In addition, an interdisciplinary major was established to educate students to think and act critically in the realm of public affairs. The program included visiting public policy makers, journalists, diplomats, and other practitioners and an expectation of off-campus study and internships. Evidence about the center and the major was obtained from interview data, college magazines and catalogs, campus newsletters, and admissions publications. Numerous issues of the college magazine carried articles about the work of the center and addressed various public policy issues. The president reported that editorials by faculty and trustees appeared regularly in major west coast newspapers, providing evidence that the college was, indeed, having an influence on public affairs.

Those interviewed indicated the center was one of only three initiatives selected to receive monies from the venture capital fund. Several claimed the center received this initial support because it was deemed a great opportunity. Subsequently, the college received a $750,000 gift to support the center and in Fall 1994, several publications reported the receipt of a $289,000 research grant to examine the relationship between urban poverty and regional development. The latter would culminate in a conference bringing together economists, business leaders, and community activists to develop a plan based on the findings.

The Sciences. This strategy aimed to enhance the science program as measured by quality and productivity of faculty, achievements of students, and rate of

graduate school acceptance. Specific actions focused on a new admissions message, consortial ties with other institutions, stronger ties with a major scientific research institution, and improved facilities and equipment. The college also sought to develop an environmental sciences program, a minority student science scholarship program, a summer science institute, and expand its outreach to high school science teachers.

There was good evidence that the college achieved many of these initiatives and that the sciences continued to excel by multiple measures. Current admissions literature clearly emphasized the superiority of the sciences, providing impressive statistics about student and faculty accomplishments and extensive detail about the quality of programs and facilities. Various publications describing the sciences revealed a well-credentialed faculty, each with a significant litany of honors, research grants, and publications. Since 1985, the ten members of the biology department published 120 papers, many co-authored by students. Among their many awards, division faculty received a Guggenheim Fellowship in 1985, the state professor of the year award in 1987, the Sears-Roebuck Foundation Teaching Excellence Award in 1991, and selection as a Dreyfus Scholar in 1992. The chemistry department ranked fourth among all liberal arts colleges in funds raised for undergraduate research and instrumentation. Among grants received in 1994 were $40,000 from NSF for physics research, $20,000 from the National Geographic Society for ecological study, and three NSF faculty-student summer research grants.

According to college publications, students in chemistry and biochemistry presented more than 100 papers at national professional conferences during the 5 years from 1988 to 1993, and ten students were awarded NSF fellowships. Since 1991, chemistry majors alone presented 45 papers at professional meetings, representing 19 percent of all papers given at one major undergraduate research conference. Medical school admissions were also reported as high with 100 students accepted from 1990 to 1994.

There was no evidence obtained about a minority student science program. However, written records and interview data referenced a more general scholarship

and numerous summer research opportunities. A minority student full-tuition scholarship program was created in 1993 and funded by a multi-million dollar grant, the purpose of which was to provide local minority students the opportunity to obtain a first-rate liberal arts education. In 1994 the college received a three-year, $342,000 grant to improve high school science instruction and increase access for inner-city students. The project involved teams of high school teachers and students. During the summer of 1994, a total 41 students received foundation-funded research stipends.

Written records indicated the chemistry building was fully renovated in 1992 and a $500,000 gift was received in 1992 for new science equipment. The capital campaign initiated in 1992 sought $8.4 million to renovate another major science building and $3.1 million for new scientific equipment and computer technology. The campaign also included $1 million for student summer research. In 1991, $1.5 was received to endow a faculty chair in chemistry.

Officials at the college reported that ties with a major regional technical institute were strengthened, providing its students with expanded opportunities for instruction and use of library resources. The development of consortial relationships was not evident in the data available.

An environmental studies major was developed shortly following creation of the strategic plan and selected as one of the initiatives to be funded by the venture capital fund. However, this decision was not negotiated with the faculty governing body and, as a result, the program was not implemented. In 1993-94 an emphasis in environmental science and policy was offered in the college catalog with a coordinate major in environmental studies and another discipline of the student's choosing planned for 1995-96.

Operational Strategies. Although the college identified nine operational strategies, most of these supported one or more of the six core strategies and pertinent aspects of each was incorporated into the above discussion. However, given both the focus of the study and the nature of the outcomes observed at College D, the enrollment management and financial affairs strategies warranted separate analysis.

Operational Strategy: Enrollment Management. This strategy focused on recruitment, retention, and financial aid with the intent of expanding enrollment, creating a diverse student body, and reducing financial aid expenditures. While the college was very successful in diversifying the composition of the student body, enrollment declined and financial aid expenditures increased significantly.

Total enrollment declined from a high of 1,704 in 1988-89 to 1,604 in 1994-95, a drop of 6 percent, as indicated in both IPEDS data and internal reports. Freshman enrollment declined more significantly, falling 22 percent from 456 in 1987-88 to 357 in 1994-95. While the number of minority students rising from 25 to 48 percent, the percent of in-state students increased from 43 to 67 percent between 1987-88 and 1994-95.

Nearly all of those interviewed attributed the downturn in enrollment to the nature of the marketing message. According to interview data, given the charge to diversify the student body, the admissions message became one-dimensional. The emphasis on equity resulted in the near exclusion of any mention of excellence. Thus, the college became viewed as a multicultural institution rather than a liberal arts institution offering a premier education in a multicultural context. Yet, other factors were cited as contributing to the decline. The geographic region in which the college was located received considerable negative publicity, adversely affecting interest among out-of-state students. The situation was compounded by a nation-wide trend of increasing social and political conservativism, which was antithetical to the movement of the college. Conflicting priorities--between the desire to increase diversity, decrease financial aid, and become more selective--also impeded efforts to achieve enrollment targets. In addition, the admissions office lacked the tools and expertise to track and analyze trend data about its prospect and applicant pools, presenting little opportunity to adjust recruitment efforts. Finally, given the long-standing financial strength of the institution, enrollment was not a fiscal priority during the 1980s and early 1990s. In 1994, due to growing financial pressures, enrollment became a top priority resulting in administrative changes, the addition of

computer software and equipment, revised marketing messages, and increased involvement by senior officers.

In addition to declining enrollments, efforts to recruit a more diverse student body also resulted in weaker student credentials, as measured by traditional standards. Although internal reports provided little detail, the combined average SAT score declined from a high of 1200 in Fall 1987 to 1135 in Fall 1991. Thereafter the college only reported the range of scores for the middle 50 percent of entering students. Those ranking in the top ten percent of their high school graduating class declined from 25 percent in Fall 1987 to 19 percent in Fall 1991. However, the chief admissions officer suggested that traditional admissions criteria were inadequate and inappropriate for an institution seeking to enroll an ethnically diverse population.

The increase in diversity was attributed to multiple initiatives. According to admissions staff, the department launched a major outreach program in the metro-urban area. The minority student scholarship program mentioned earlier helped increase visibility and served as a major enticement for under-represented students. The college also joined 20 other national liberal arts colleges in a joint recruitment project. The increase in in-state numbers was attributed to the focus on the adjacent urban community and financial aid policies which made in-state residents easier to recruit.

Those interviewed suggested that retention issues received little attention. No single person was assigned responsibility for retention, and a recruitment and retention committee took little action. The committee was later replaced by an enrollment management committee which focused primarily on recruitment and financial aid issues. Although there were inconsistencies in the data from various internal records, the figures suggested a fairly steady pattern of increase in the four and five year graduation rates of entering cohort groups throughout the 1980s. Statistics for the increasingly diverse student body recruited in the 1990s were still inconclusive but interview data revealed no major problems. The severe financial problems experienced in 1995 were anticipated to have a negative effect.

Efforts to control financial aid expenditures were clearly not successful. The plan called for a reduction in aid to a level not to exceed 20 percent of the E and G budget. As shown in IPEDS data and internal budget reports, expenditures for financial aid grew 179 percent during the decade from FY85 to FY94 while the overall E and G budget grew 98 percent. As a percentage of the E and G budget, financial aid rose from 11 percent in FY82 to 23 percent in FY88. It dropped to 22 percent in FY91 but rose again to 23 percent in FY93 and then to 24 percent in FY94. In terms of actual dollars, expenditures grew from $7,056,697 in FY88 to $10,216,803 in FY94 with the largest increases occurring in FY91, FY92, and FY93 at 10, 6, and 7 percent per annum respectively. Students receiving some form of financial assistance grew from 62 percent in FY88 to 71 percent in FY94. Interview data suggested that much of the growth in expenditures was directly related to efforts to achieve the goal of diversifying the student body. Yet several of those interviewed cited the lack of good internal tracking mechanisms and fiscal controls as contributing to an inability to control and reduce expenses. It was also reported that the college added a merit scholarship program in 1994 to help stem the enrollment decline, but in so doing did not assess its impact on the financial aid budget. The college also continued preferential packaging for under-represented students, an additional drain on institutional resources, even after a high level of diversity was achieved.

As one faculty member observed, the college did not manage the change it set out to achieve in these areas. Administrators failed to recognize the importance of good data collection, integration of the admissions and financial aid functions, and coordination with the business office--elements essential to accurate forecasting, sound decision making, and effective management.

Operational Strategy: Financial Affairs. While the 1990 plan document described the college as fiscally strong, a condition confirmed by financial records and interview data, the college wanted to strengthen its financial condition and endowment management to better meet future challenges. The college also hoped to increase revenues through more aggressive fund raising and a capital campaign. At

the time planning began, budgets were balanced and the endowment reflected substantial gains, but financial aid expenditures were disproportionately high, thus restricting growth in academic programs and services.

Actions recommended to improve financial performance were better tuition pricing, a reduction in financial aid, and development of a five-year budget forecast. The re-accreditation team, noting the many competing demands created by the strategic plan, also recommended the college increase non-tuition revenues, most especially through endowment growth and fund raising. According to a 1994 memorandum from the chief financial officer, pricing practices were examined but no formal policy was set, nor was a comprehensive financial aid strategy formulated, as recommended. Financial aid costs remained high and the goal of reducing those expenditures as a proportion of the E and G budget were unsuccessful, as previously noted. There was also no evidence that a five year budget forecast was developed. Finally, although IPEDS data showed tuition, as a source of total E and G revenues, rose from 42.8 to 51.4 percent between FY85 and FY94, these data were skewed by disproportionately large gift revenue in FY85 and FY94. During the intervening years, tuition revenues remained fairly steady, averaging between 57 and 60 percent. Further, it was reported that endowment funds were regularly used to offset budget shortfalls.

The college also intended to strengthen its financial condition through new accounting and financial policies. The 1994 memo indicated only one of three recommendations in this area were implemented and gave no indication what efforts would be made to address the other two.

Improved management of the endowment targeted increased earnings, reduced spending, and new gifts for on-going facilities maintenance. The evidence revealed these objectives were not achieved. During the 1980s, the endowment grew at a 14.2 percent annualized rate of return. This growth was attributed to favorable market conditions and astute management by the trustee finance committee. According to IPEDS data and financial records, the actual market value of the endowment grew

from $90,940,000 in FY85 to $147,278,000 in FY90. However, growth halted in 1990, following which the endowment actually declined in value. It stood at $145,345,362 in FY94, a net increase of 59.8 percent over FY85. Plant assets also expanded appreciably during the 1980s, according to the re-accreditation team report, a consequence of which was a $17 million debt obligation and additional maintenance costs. From FY90 forward, the 7 percent annual growth target specified in the plan was not realized. Several of those interviewed blamed the decline on heavy investment in real estate at a time when the market collapsed. But a high drawdown on the endowment may also have been a factor. A five percent endowment spending policy was regularly exceeded and averaged in excess of 7 percent per year between 1983 and 1992, according to trustee documents. An outside consultant's report in 1994 described the rate as excessive and exhorted the college to reduce its spending.

In 1992 the college mounted a $65 million capital campaign, another means by which it hoped to strengthen its financial condition. The goals included $16.4 million for new construction and renovation projects, $17 million for endowed scholarships, and $18.1 million for academic programs and faculty positions. Interview data indicated a total of $43 million in gifts and pledges was raised by Spring, 1995. However, alumni participation in the annual fund fell from a high of 35 percent in 1987 to 24 percent in 1991, according to internal reports, evidence which seemed to confirm interview reports of donor concerns about changes occurring at the college. Subsequently, efforts to address those concerns apparently succeeded. In FY94 the number of alumni donors rose to 31 percent and contributions to the annual fund passed the $1 million mark for the first time, as cited in development office reports.

The budget did not appear to be a significant mechanism by which plan objectives were realized. Although there were no detailed financial data with which to assess budget allocations, interview data suggested no significant shifts occurred. Faculty and staff conveyed the expectation that strategic initiatives would be funded with new monies. There was no indication that the reallocation of resources was considered a viable alternative.

In Spring 1995, as reported by all of those interviewed and detailed in the campus newspaper, the college faced significant financial problems causing a $3 million reduction in the budget, various program consolidations, outsourcing, and the elimination of some positions. The situation was forecasted in 1994, at which time outside financial consultants found the college in a much weakened financial condition. Noting that revenue increases alone would be insufficient to ensure a balanced budget, and the consultants advised the college to reduce operating costs and constrain capital spending. They also recommended that the college stabilize its enrollment and modify the mix of financial aid. Although those interviewed pointed to financial aid and declining enrollment as the principle causes of the financial crisis, the consultants also cited insufficient non-tuition revenues, excessive endowment spending, increased deferred maintenance costs, and high operating costs in student services, public service, and plant operations.

The financial health of the college weakened between FY90 and FY94, and plan objectives in this area were not achieved. However, interview data indicated that positive changes began to occur in 1994-95. In 1994 the college purchased management information software to facilitate budgetary controls and other information needs. In early 1995, as reported in the employee newsletter and trustee retreat materials, the college employed new investment managers for the endowment fund, the financial affairs division was reorganized to increase budget controls and financial reporting, a new controller was hired, and other leadership changes were in process. In addition, as noted by several of those interviewed, the college still enjoyed a sizable endowment which permitted it to continue operating with considerable strength.

Implementation

During the search for a new president in the late 1980s, the faculty and trustees discovered they jointly shared a vision of better serving, and benefiting from, the multi-ethnic, urban setting in which the college was situated. To lead the college

in this direction, they chose a prominent, nationally recognized, African American educator as president; an individual who shared their vision. Thus, the trajectory represented by the strategic plan had been established and was broadly owned prior to the planning process. The president confirmed that the college, at the time of his appointment, wanted to be known for its commitment to diversity. But he found it also wanted to be seen as a high quality liberal arts college. Hence, the subsequent co-equal emphasis on excellence and equity.

The plan document provided specific mechanisms for management and budget links, but these were not effective. The president charged no single individual with responsibility for implementation of the plan, a situation repeatedly cited as problematic. Rather, the Planning and Priorities Council was intended for this purpose. The council, however, was either unable or unwilling to fulfill this role. Some claimed it was not a legitimate governing body, others cited its lack of input in the budgeting process, still others indicated the council had great difficulty choosing between numerous ideas and fixed resources.

Senior officers failed to fill this void. The vice presidents, while lamenting the lack of clear priorities, measurable goals, and timelines, claimed no accountability for implementation of the plan. Although one vice president believed they were, in fact, given tacit responsibility for operationalizing the plan, there was no evidence that operating plans were developed or any evidence of annual goal setting.

The venture capital fund, intended to facilitate the implementation of various strategies, was abandoned after the first year, due to budget constraints. Initial funding did provide monies for two projects which proved very successful: a child care facility and the international and public affairs center. Funding was cited as the key factor in the success of these programs, and many believed more initiatives would have been implemented had additional resources been made available. A third program selected for funding was suspended due to faculty opposition.

Many of those interviewed failed to think in terms of the reallocation of resources. The creation of the special fund may have subverted the likelihood of such

thinking, but the budget process itself inhibited implementation. The evidence suggested there was little inclination or opportunity to shift existing resources in support of plan objectives. Although some consideration was reportedly given to reallocation, those interviewed confessed the college was not successful in figuring out how to do it. Internal memoranda indicated senior administrators did not serve on the budget committee and they reported having no formal input into the institution-wide budget process. Nor was there any link between the work of the Planning and Priorities Council and the budget committee. The result was a process unsatisfactory to most of those interviewed.

Feelings were mixed as to the extent to which the strategic plan influenced budget decisions. Some felt the budget was guided, at least informally, by the philosophy of the plan. Others felt the plan had little or no effect given inadequate resources. There was some indication that the president and others were beginning to view the budget as a tool for implementation, but it was clear from the interviews that most people expected plan initiatives to be funded without any cuts or shift in resources. Several faculty members, as well as the chief financial officer, also claimed no consideration was given to costs at the time the plan was adopted. As one administrator noted, neither trustees, faculty, nor staff had yet developed a full understanding for the level of available resources, the rationale guiding budget assumptions, or the relationship between these and the undertaking of new initiatives.

While the lack of substantially increased allocations was cited as adversely affecting implementation, the philosophical nature of the plan may have lessened the need for higher levels of funding or major shifts in fiscal resources. Given the fact that many of the core strategies were largely successful, the most important allocation of resources may have been the high level of personal commitment made by many faculty and staff.

Although the Planning and Priorities Council, venture capital fund, and budget process proved to be ineffective vehicles, the capital campaign, recruitment strategies, hiring decisions, and the cultural studies program did become mechanisms by which

the plan was implemented. Shifts in admissions created a new student mix and changed campus life. Faculty hirings enhanced curricular revisions. Faculty development activities effected changes in attitudes and behaviors, as well as in pedagogy. Through these and other means, those at the college worked toward and realized the overall vision of the plan, in large part because it was a vision so broadly held and shared.

Factors Influencing Observed Results

Leadership styles, management inexperience, the planning process, internal reporting mechanisms, and the nature of the plan itself all contributed to the extent to which the strategic plan was implemented and the various strategies realized.

The re-accreditation team cited the leadership style of the new president as instrumental in charting a bold, new course for the college and capturing the collective energy of the campus. Interview data supported this view. The president, finding the college hesitant to look beyond its immediate physical boundaries, used the strategic planning process to confront the question of identity. He was unafraid to reach out to the community or to publicly embrace the goal of diversity and multiculturalism.

The new president's leadership style was markedly different from that of his predecessor. The former president was described as an autocratic, controlling manager with whom the faculty had an adversarial relationship. By contrast, the new president was open and consultative, a leader rather than a manager. Trusting, warm, and caring were adjectives used to describe him. He expanded decision-making processes, delegated operational responsibilities, and chose to focus on external issues, leaving the management of internal affairs to others.

While this style of leadership was much preferred by those interviewed, it also proved a liability. Senior officers admitted to a lack of decision-making experience, particularly with regard to fiscal matters. They operated independently, without consideration of other operating units, and were described as reluctant to negotiate or

compromise, requiring the president to arbitrate decisions. Virtually all of those interviewed ascribed responsibility for the implementation of plan strategies to others, even when objectives fell within their own administrative purview. This declination of responsibility, coupled with the lack of management expertise, became problematic under a president who assumed his subordinates to be both capable and self-directed in managing the affairs of the college.

Thus, the president's laissez-faire, non-directive style of leadership appeared to affect the level of plan implementation. There was evidence that this style, and the absence of explicit accountability, also facilitated the subsequent financial problems. As noted by the re-accreditation team and confirmed by interview data, evaluation of administrative officers was conducted informally. Annual goals were not set and there was no systematic, formal evaluation either of administrative officers or their programs. Enrollment targets were set in isolation from other decision-making, and budgets did not anticipate the consequences of admission, financial aid, hiring, or curricular decisions; nor were they adjusted when increased costs were incurred. Given weak upper management skills and the president's external focus, the day to day operations of the college were not well-run according to those interviewed. In 1995, by his own admission and others, the president necessarily became more involved in the daily management of the college.

In spite of these weaknesses, the faculty clearly liked the president and indicated they wanted neither him nor the plan to fail. They remained committed to both the plan and to his leadership, indicating he was taking action, at their behest, to remedy these problems.

Participation in the planning process was extensive, as reported earlier, and involved many people previously excluded from such dialogue. Thus, planning served as an important tool for developing a sense of community, as well as building broad ownership for the future of the college. While some of those interviewed disagreed with some of the strategies chosen, all conveyed an unswerving commitment to the main philosophy of the plan.

The 1990 planning initiative was an excellent, strategically focused process. But there was little evidence of any pattern of ongoing planning at the college. Several pieces of evidence suggested some remained cognizant of the concept of planning. The 1994 trustee retreat manual showed that some vice presidents had incorporated the strategic vision into their departmental missions, and the president reported his intent to prepare a five year progress report for the trustees in Fall 1995. But planning did not become institutionalized. There was no regular evaluation of progress toward, or revision of, plan strategies. Nor were any multi-year budget or enrollment forecasts prepared.

Management of the plan and the finances of the college also suffered from insufficient data and no computerized, integrated, management information system. In its 1990 report, the re-accreditation team noted that the college lacked a clear understanding of what kind of data it needed and how to use data in policy making, a problem which persisted in 1995. The dearth of detailed budgets, financial reports, enrollment statistics, and program data confirmed this finding. As one interviewee noted, the college had no institutional memory "except as contained in certain elders of the college."

The lack of data and reporting mechanisms not only left managers unable to monitor internal activities, but perpetuated a culture largely ignorant of the need or value of such information. Thus, the college did not and could not easily and efficiently track enrollment, staffing, financial aid obligations, budget allocations, or the general financial health of the institution. The result was an institution which paid little attention to measuring change or evaluating progress toward stated goals.

The nature of the plan itself was also cited as a factor affecting its implementation. Several of those interviewed described the plan as a philosophical document, broad in direction but absent a clear plan of action. Others described it as a comprehensive wish-list without clear priorities. A reading of the plan document, however, suggested these were not its failings. The lack of responsibility for its implementation shown by senior administrators, the absence of internal data and

tracking mechanisms, little linkage between the budget and plan priorities, and growing financial constraints all served to inhibit implementation of the plan.

Further, those at the college admitted they made a critical error in not cutting expenses as enrollment declined. Nor did they anticipate the effect of the key strategy on traditional student enrollments. The president observed that the strategic vision chosen had both fiscal and psychic costs. The overzealous emphasis on equity masked the messages of quality and excellence. People heard only multiculturalism, diversity, pluralism, and inclusiveness, words which carried considerable emotional baggage.

Summary

The success of planning at College D was somewhat paradoxical. The student body became more diverse but decreased in size and traditional quality measures. Fiscally, the college incurred major problems. The corpus of the endowment shrank, earnings fell, budgets were not balanced, financial aid expenditures burgeoned in spite of fewer students, and management controls were inadequate. Yet all of those interviewed believed the college was at the forefront of cultural change.

A review of the six core strategies showed significant accomplishment in four areas with more limited results in two others. Even the nine operating strategies were largely realized, with the exception of enrollment management and financial affairs, although many failed to recognize these accomplishments. Creation of a mission statement, which clearly defined the purpose of the institution, was itself a significant achievement.

When evaluating the plan in terms of its multicultural agenda, there was strong evidence of success. Changes in the core program, pedagogy, faculty, students, co-curricular activities, and community outreach were all made in support of that goal. As one administrator noted, it was impossible to ignore the impact of the plan: the core program was more inclusive of women's studies and cultures outside the Eurocentric tradition, the faculty and student body were more diverse, the arts

flourished, and 65 percent of 1994 freshmen declared a desire to major in science because of program quality.

Although diversification of the student body, faculty, and curriculum were underway at the time the strategic plan was formulated, those interviewed felt that implementation of the multicultural agenda became more focused, and accelerated rapidly, as a result of the strategic plan. Further, the plan represented an unified commitment to multiculturalism, a goal that administrators and faculty asserted never disappeared philosophically.

The goal of this multicultural college was the creation of a genuine community. The underlying premise was that the things which bound the college together were more significant than those which divided it. People from different cultures came with different experiences, histories, and economic backgrounds, but basic values transcended these differences. It was these shared values that served as the foundation for community, guiding attitudes, behavior, and decision-making. Thus, as multiculturalism became institutionalized, College D became more than a diverse institution. The culture and fabric of the institution changed as the college moved from tolerating diversity to welcoming and benefitting from it. In time, special dorms, events programming, and resource centers were no longer needed.

With regard to excellence and equity, the college clearly worked toward and achieved its equity goals. Excellence was also achieved according to numerous and varied measures, but without the same level of commitment or sense of progress. The commitment to equity and excellence reflected the changing complexion of the larger society, and the recognition that the next generation of leaders would consist of those new to the nation or from non-western cultural traditions. These future leaders would require a combination of skills, imagination, humanity, and respect for others, and the college clearly saw its responsibility as providing them with the finest education possible. Faculty were united on this mission, and many believed the college served both as a laboratory and a model for the larger society. Students were educated to facilitate, as well as handle, social change, and the cultural studies

program became the imprint which both distinguished the college and marked its students.

Yet, movement toward the envisioned change was not without tension and debate. Although these factors were not unexpected, several of those interviewed noted that an institution devoted to educating its students for a pluralistic world required an open-mindedness to new ideas and an enthusiasm for the ideals of multiculturalism. The result was an environment simultaneously exhilarating and contentious.

In spite of the significant success of the multicultural strategy and the extent to which other plan strategies were realized, many of those interviewed conveyed disappointment with the level of implementation or success of the plan. The vigor with which the multicultural agenda was pursued may have been so consuming that little thought was given to other improvements. The perceived lack of detail against which to measure achievement may also have contributed to these sentiments. Perhaps more importantly, the ensuing financial problems seemed to eclipse the extent to which overall plan strategies were realized.

In 1992 a highly regarded national news publication described College D as a "mosaic of hope" for the larger society, citing its pursuit of the bold multicultural experiment to achieve excellence and equity. There was strong evidence that the college made significant progress toward this goal.

College E

Setting and Institutional Profile

College E is an independent, Jesuit, coeducational institution with an approximate undergraduate enrollment of 3,000 students and a total student body numbering 5,200. Located in a medium-sized city in the Pacific Northwest, the college is situated in a modest residential area in close proximity to the downtown business district. Although the city is the center of commerce for the region, its character resembles that of a much smaller community. The region provides ample and varied opportunities for outdoor recreation, which influences the character of both the city and institution.

More than half of the student body comes from at least 500 miles away, nearly one-fifth are age 25 or older, and several hundred are enrolled in non-credit programs. Forty percent of the student population is housed on-campus while many others reside in the neighborhoods immediately adjacent to the university. Most students live on campus for the first two years, moving off-campus thereafter. Half of the students are Catholic.

The 94 acre campus is modest in its appearance with buildings, new and old, utilitarian in their design and functionality. The administration building, constructed in 1898, anchors the entrance to the college, masking the size and spaciousness of the campus. Resembling a multi-story, traditional high school design, it exudes a feeling of unadorned order and practicality.

Established as a liberal arts college, professional schools were added later in law, business, education, engineering, and graduate studies. Now a university, the institution retains its emphasis on teaching and liberal arts. As outlined in catalogs, admissions literature, and the 1994 Self Study Report, the liberal arts tradition manifests itself in the core curriculum which emphasizes the integration of philosophy, theology, history, mathematics, literature, the natural and social sciences, and extensive writing in students' major disciplines. Together, the liberal arts and

professional programs comprise the comprehensive nature of the university environment, with a mission of education for service to others and society. The institution also remains committed to the Jesuit ideal of educating the whole person: mind, body, and spirit.

The culture of the organization is one of solid, traditional values, civility, political and social conservatism, and forthrightness. There is a sense of both consistency and constancy. The atmosphere is one of informality as evidenced by personal greetings and signage throughout the campus, and there is a strong sense of service--to students, to each other, and to the larger community.

Various publications summarized the mission as offering a quality education with a solid grounding in humane and Christian values, a mission broadly shared by all constituents as noted by the re-accreditation visiting team. The long-term, continued growth in enrollment and the building campaign imply an institution moving forward yet anchored in a strong commitment to its mission. The culture of the institution, however, is evolving as it moves from an informal, familial institution to a larger, more complex, and formal one thus creating a challenge in the preservation of its humanistic culture.

Planning Process

At the time strategic planning was initiated in 1985, the institution reported a strong financial condition, an expanding physical plant, growth in its professional programs, and a solid pattern of enrollment increases. The planning project, as reported in CAPHE documents, was undertaken to examine the educational mission in light of this growth. The college was, however, heavily tuition-dependent and thus highly sensitive to enrollment trends, and required considerably increased financial aid resources. Further, demographic data for the largest feeder states indicated there would be significantly fewer high school graduates from which to recruit.

In its grant application, the institution stated its intention "to aggressively maintain" academic excellence by increasing faculty, improving instructional

equipment, and obtaining accreditation of its professional schools. It also intended to commit additional resources for admissions and financial aid, to help attract and retain qualified students, and to the development office to assist fund raising. Cognizant of changing student interests, the institution anticipated changes to its academic programs and facilities. The college sought to formulate and implement a strategic plan to accomplish these collective objectives.

Recognizing that many strategic plans failed due to the lack of implementation and quantification standards, particular emphasis was to be given to implementation and measurability. The institution also expressed a desire to use outside consultants to facilitate the process in order to avoid political and internal biases.

As College E entered the planning process, CAPHE documents showed that budgets were balanced and carefully managed. During the early 1980s, facilities, equipment, and faculty had been added to accommodate enrollment growth in the professional schools. The endowment stood at $13 million. The university was in the pre-announcement stage of a $30 million capital campaign with $14 million already donated or pledged. Yet the institution was mindful of, and sought to plan for, future challenges.

The planning process was launched in Spring 1985. By April 1985, according to CAPHE documents, the Academic Planning Council had identified seven areas for review. The college obtained the contributed services of corporate executives and engaged an academic planning consultant, all of whom helped design the planning process and facilitated various meetings. An initial two-day seminar was conducted in July, 1985, for the president, vice presidents, and deans.

By Fall 1985, CAPHE progress reports indicated that five "strategic choices" were identified and served as a framework by which each of the vice presidents developed management plans for their respective areas. The Academic Planning Council assisted with the development of the academic portion of the plan which was then presented to, and discussed by, the entire faculty in Fall, 1986. The management plans for the various non-academic areas were then revised in light of

the academic plan. As reported to CAPHE and confirmed by published reports, this process was completed in January, 1987.

CAPHE records and interview data indicated the planning team consisted of approximately 20 members, composed of the president, vice presidents, and deans. Faculty input, as already noted, occurred primarily through the Academic Planning Council. Planning records indicated the Board of Trustees was also involved, both in designing the process and development of the plan document. According to those interviewed, the board was instrumental in the initiation of institution-wide, strategic planning and reviewed elements of the plan throughout the process. The Board approved the plan in January of 1987 with the document being dated April, 1987. The official plan document was reported as being widely disseminated.

The institution stated in its final report to CAPHE that it benefitted from the expertise of corporate planners who structured and facilitated the planning process. However, several of those interviewed noted that these individuals lacked an understanding of higher education and that the process was not well-informed by institutional, or appropriate environmental, data. The scarcity of internal data derived primarily from the lack of an on-line data base.

The plan document called for ongoing review to include measuring institutional progress toward intended strategies and the development of new ones, as appropriate. In reports made to CAPHE, the institution claimed that an important outcome of the project was the commitment to an ongoing planning process. The president's cabinet adopted a calendar for review and revision of the plan, the trustees insisted on regular reports and input, and, for the first time, the institution was focusing on five common strategic objectives to guide its work. Additionally, the institution claimed a heightened awareness of the need for a marketing orientation. To facilitate implementation, the plan document explicitly stated that the annual budgeting process be coordinated with the goals and objectives of the strategic plan.

In 1991, following a change in academic vice presidents, a second strategic planning effort was initiated. The process, which lasted 18 months, was led by a 45-

member Strategic Planning Council broadly representative of all university constituents. Again using an outside consultant, several all-day, campus-wide workshops were held to assess institutional strengths and weaknesses and identify appropriate goals. These sessions gave all members of the community an opportunity to participate. Using the information gained from these sessions, the Planning Council set seven strategic goals. Faculty members felt the planning process was well-informed by external trend data, administrators recalled that data were not collected or infused into the system in any systematic way.

The process was clearly more inclusive and opportunities for input were reported as numerous. The entire campus community was informed through regular newsletters and college-wide forums encouraged discussion and suggestions. Yet, several of those interviewed felt that faculty views were not given adequate consideration.

Perceptions about the purpose of both activities was consistent among those interviewed. The majority saw the initial planning process as a way to define the direction in which the university was headed and to determine how best to preserve the Jesuit tradition. In hindsight, most saw it as a learning process which established the foundation for future planning. The 1994 Self Study Report described the 1987 Strategic Plan as a "plan to plan," a sentiment shared by many of those interviewed. The second planning process, following closure of the capital campaign, was viewed as an opportunity to refocus institutional priorities with an emphasis on academic quality. Both initiatives were motivated, in part, by continuing concerns about future enrollment stability.

During the 1992-93 academic year, the institution initiated the self study process in preparation for its decennial re-accreditation review with the 1992 strategic plan serving as the point of departure. Two of those interviewed saw the self study process as a natural continuation of strategic planning with considerable overlap between the two, a finding confirmed by an analysis of the two documents. The self study was, however, more internal in focus, confirming institutional strengths while

identifying those areas which still needed attention. The final Self Study Report was completed in February, 1994, and the site visit conducted in April, 1994.

The Self Study Report cited an institutional commitment to a process of continuous planning at both the department and institutional levels, and interview data stressed the creation of annual working plans for all major areas. During the previous decade, the report noted, the institution moved from a planning process conducted in a "top down " fashion to one seeking the input and involvement of all faculty, staff, and students. Yet survey data indicated that university plans were not well-communicated. Some of those interviewed shared this sentiment, others insisted that efforts to communicate and assess progress on the 1992 plan were broad-based but required some initiative on the part of campus constituents to keep informed.

In spite of this reported attention to planning, the 1994 re-accreditation team found planning fragmented and incomplete. They observed no overall integration of planning, no evidence of a funding plan, and no measures or timetables by which plans were regularly evaluated. By contrast, those interviewed praised the progress made by the institution in its planning citing annual goal-setting activities conducted by vice presidents, annual assessments submitted to the president, and community-wide forums which served both as a communications tool and an accountability measure.

The Plan

The 1987 Strategic Plan document consisted of an introduction, which outlined five core strategies, followed by a comprehensive management plan. The management plan portion of the document, developed by each of the vice presidents, included specific action steps, timetables, fiscal needs, and staff assignments to aid implementation. The five "strategic choices" were as follows:

1. Maintain and assure the humanistic, Catholic, and Jesuit character of the institution.
2. Maintain traditional quality while exploring flexible options.

3. Broaden the financial base.
4. Maximize the location of the institution.
5. Adopt a concerted marketing approach.

The 1992 Plan was a more concise and less formal document, consisting of only a few pages. The plan was introduced by a series of planning assumptions which reaffirmed the mission of the institution and identified key shared values. It then proceeded to outline seven goals, three of which were represented among the 1987 strategic choices:

1. Continue to develop the Jesuit, Catholic, and humanistic character of the institution.
2. Recruit and retain a diverse and academically able student body.
3. Provide a curriculum grounded in the liberal arts, but also offering instruction in professional disciplines.
4. Increase coherence between academic and student life programs and resources.
5. Foster a spirit of community.
6. Enhance instructional and informational technology.
7. Enhance the quality of life of the surrounding geographic region.

Each goal was supported by several "objectives" and implementation "strategies", but did not include any measurable criteria, timetables, or cost projections. The document stated resource allocations would be guided by the plan, but gave no indication how this would be accomplished. This document was later followed, in Winter 1993, by a progress report citing actions taken in support of various plan goals, costs involved, staff responsibilities, and completion dates. Interview data indicated that the 1992 Plan was the one which continued to guide the institution in 1995.

Three objectives of the 1992 Plan were also reflected in the Self Study Report: (a) adherence to Jesuit, Catholic, and humanistic values; (b) a holistic, student-centered education; and (c) an emphasis on community. Also in 1992, in a speech to

the faculty and reprinted in the alumni newsletter, the president outlined his five-year vision for the institution. That vision encompassed a larger, more diverse and academically talented student body; a more culturally diverse institution; continued improvements to physical plant; continued development of new degree programs, particularly at the post-baccalaureate level; and an institution continuing to uphold the values of a Jesuit and Christian education.

Although each of the above documents explicitly outlined a range of "strategic choices" and institutional goals, an analysis of the data revealed a more focused agenda. The vision most articulated by those interviewed was a university committed to its Jesuit identify and to quality. The two key strategic initiatives, as they emerged through an analysis of all sources of evidence, were preservation of the Jesuit identity and growth--in facilities, numbers, and quality.

Results

From the time planning was initiated in 1985, the institution changed considerably. There was extensive development of the physical plant, the institution grew substantially in the size of its student body and faculty, the academic quality of students increased measurably, the endowment more than tripled, and academic program offerings were expanded. Nearly all of those interviewed also cited a much-deepened commitment to the Jesuit character of the institution.

There was strong evidence, and general consensus among those interviewed, that the university achieved many of its stated goals. While acknowledging that some areas were not yet fully implemented, most felt the institution had made excellent progress.

Humanistic, Catholic, and Jesuit character. This strategy, outlined in the 1987 Strategic Plan and prominent throughout subsequent planning documents, focused on maintaining and strengthening the character and tradition of the institution throughout all aspects of its operations. Initiatives outlined in the various plans included staffing, education, curricula, and marketing. The evidence showed

numerous activities undertaken in support of this strategy and those interviewed observed that the mission became the filter through which all actions were screened. Actions included the content of myriad publications, presidential essays, and speeches; curricular requirements and individual course content; public lecture and seminar topics; co-curricular activities, community outreach programs, and personal actions. It was not possible to measure to what, if any, degree the character of the institution was actually "strengthened" from 1987 forward. However, it was clear that the Jesuit, Catholic, and humanistic tradition of the institution was the dominant characteristic distinguishing the university.

Various publications consistently emphasized the Jesuit mission and those traits the institution sought to foster in its students, faculty, and staff. Each year, the president's annual report essay addressed Christian values and the qualities imparted by a Jesuit education. The Jesuit philosophy of educating the whole person--body, mind, and spirit--was also evident in the achievements and events highlighted in each of these reports. The mission of the university was prominently featured in each of the college catalogs from 1984 through 1994. A review of recruitment and alumni materials from throughout this period revealed numerous references to the principles outlined in this strategy. For example, a 1995 edition of the alumni newsletter featured an essay by the president about responsibilities associated with being a Catholic university and cited a variety of service-oriented activities undertaken by students and faculty. The university also published a special brochure explaining and promoting the qualities of a Jesuit education. Thus, there were many indications that this message was regularly addressed with substantial continuity.

The institution also worked to achieve this strategy through its personnel policies and practices. Although the university set out to hire more Jesuit faculty and administrators, there was no evidence to indicate the success of this particular initiative. According to the 1994-95 fact book, 27 of the 282 full-time faculty and 45 of all 775 employees were Jesuits, and those interviewed expressed concern about a decline in these numbers. However, new appointments publicized in annual reports

indicated that Jesuit priests continued to be named to and held many leadership positions at the university.

A mission-centered hiring philosophy was adopted in an attempt to recruit lay persons with values congruent to those of the university. Materials from the personnel office showed the college promoted this philosophy by encouraging the hiring of those candidates best able to carry out the mission in all aspects of their relationship with the institution. A manual for search committees and interviewers aided this process and included educational materials about the mission, suggestions for the recruitment process, items available for distribution to candidates, and pertinent interview questions and guidelines. Those interviewed attested to intentional efforts on the part of faculty and staff to recruit and employ persons sympathetic to the mission. Although no specific dates were given for these changes, all references intimated they occurred subsequent to the 1987 plan.

The academic program also supported the Jesuit philosophy. The re-accreditation team found the core curriculum designed in such a way as to preserve the Jesuit, Catholic, and humanistic tradition, and college catalogs outlined requirements in philosophy and theology. Guest lectures and symposia, as listed in various annual reports, reflected moral and ethical themes. Graduate program, as explained in the Self Study, were more than an extension of undergraduate training; they prepared students to work for the betterment of self and society. The expansion of offerings by the School of Education, and the primacy of these programs within the university, further exemplified the tenets of and commitment to a Jesuit education.

There were several other educational efforts. In 1987 the university sponsored a semester long seminar on contemporary issues as they related to Catholic teachings. Twenty four faculty and staff participated in the seminar and in 1989, 31 attended a national Jesuit conference. An orientation program, launched in 1987 to familiarize new employees with the Jesuit philosophy of education, was identified in the Self Study document, visiting team report, and several president's annual reports as another important tool in sustaining the culture of the institution. Interview data

revealed that concerned faculty and staff established a Council for Partnership in Mission which undertook similar educational activities for the larger university community, and convened groups to discuss issues of faith. The Council, described as a small, grass roots organization at it inception, was said to have grown to a group of 50 or 60 members by 1995.

A well-staffed campus ministry office, consisting of a director, four assistants, and clerical staff, managed an array of co-curricular activities in support of this strategy including prayer groups, retreats, pastoral counseling, community service projects, and a daily schedule of liturgical services. The weekly events calendar and student handbooks documented a wide range of events and projects, and a student newspaper article documented discussions of the weekly student prayer group. According to annual reports, the number of retreats sponsored for freshmen grew from two in 1986-87 to four in 1990, and then to five by 1994, with an average attendance of 36 freshmen at each retreat. Several of those interviewed described an increasingly vigorous campus ministry program, and the 1994 fact book claimed one in every three students was involved in its activities. Thus, both the number of activities and participation levels appeared to grow. The re-accreditation team found the campus ministry program effective in fostering the spiritual and ethical development of students. However, some were concerned that activities primarily targeted Catholic students.

Service to others was integral to the philosophy of the institution and manifested itself through an extensive number and variety of volunteer programs and fund raising events. Annual reports, the student newspaper, alumni newsletters, and interview data cited hunger fasts for the homeless, social and recreational programs for the elderly and mentally disabled, tutoring services, teen shelters, mentoring programs for children, legal aid services, and environmental protection projects, among others. Those interviewed gave examples of service requirements in several courses, and the 1994 annual report referenced a movement toward integrating a community service component into course curricula. The university offered a service

outreach class, as noted by one of those interviewed and listed in the 1995 course registration guide. The university also figured prominently in the religious life of the neighboring community with the campus church serving both the institution and the surrounding parish. The university claimed it taught its students to be involved and serve others, an undertaking substantiated by the visiting team report.

The humanistic character of the institution was perpetuated through numerous examples of concern and respect for others. Kiosks and an outdoor graffiti wall provided places for students to voice their opinions in a civil fashion. Those interviewed described high expectations of ethical standards and a commitment to students. Faculty noted they were expected not only to teach students, but to help them become better persons. The re-accreditation team found the Jesuit and humanistic values broadly incorporated into the programs and practices of the faculty, describing faculty and staff as devoted and attentive to students. Students likewise noted that care and concern were evidenced by the accessibility of faculty, admissions and financial aid processes, and interactions with administrators.

Those interviewed described the mission as being more than just words. To them, it reflected the values which permeated actions throughout the institution. Faculty, staff, and students conveyed an obvious and strong commitment to the mission.

Academic Affairs. The 1987 plan focused on "maintaining traditional quality" through improved facilities and equipment, library acquisitions, a stronger faculty, academic program reviews, and improved academic services. More flexible options would be provided through the development of new programs for non-traditional students. The 1992 plan, building on this strategy, emphasized the concept of being a comprehensive university, grounded in the liberal arts tradition, with initiatives focused on teaching and program mix. The findings revealed the institution realized its commitment to quality principally through new and renovated academic facilities, through its faculty, and through its students. Increased flexibility was achieved through expanded academic program offerings.

There was strong evidence that the scope and quality of the physical plant changed noticeably, as did the amount and quality of academic equipment. The results served as material evidence of conscious efforts to signal the quality of the institution through new buildings and improved facilities. Faculty, especially, saw expansion of the physical plant as a separate, and the overriding, priority. Most administrators regarded development of the campus as a vehicle by which academic and enrollment goals were realized. Nevertheless, this was the area in which change was most significant.

Improvements to the campus began to occur in the mid-1980s, simultaneous to the initiation of planning. Major projects were identified and incorporated into capital campaign goals prior to formulation of the strategic plan. The results of this wide-scale expansion were well-documented in campaign literature, the final campaign report, numerous annual reports, alumni newsletters, the Self Study, and various other college publications.

Athletic facilities were the first to be enhanced. An early campaign gift of $4 million in 1986 provided funding for construction of a new recreation center and renovation of the existing sports facility, including the addition of an indoor pool and a second gymnasium. This was soon followed in 1987 by a new building for the School of Business. Renovations to the School of Engineering, begun in 1984, were completed in 1988 consisting of an addition to the building and technological enhancements including new computers and lab equipment. During 1987 and 1988 improvements to the grounds were made to include new athletic fields, fountains, and park-like areas. In 1992, construction was completed and a new library opened, providing state-of-the-art technology and resources. A new center for educational conferences was also opened in 1992. The former library was renovated in 1993 for use as a student center housing a food court, post office, multi-purpose rooms, and offices for various student organizations. That same year a city street was converted to a pedestrian mall, and a landscaped walking-jogging-cycling path was added in another area of the campus, adding to numerous smaller beautification projects. A

new School of Education was opened in Spring 1994 housing 50 offices, classrooms, and a computer lab. An 85-unit apartment complex for upper-level undergraduate and graduate students was also opened. Construction on a new fine arts facility and museum was begun in 1994 and scheduled for completion in Summer 1995.

In addition to these major construction projects, other improvements were made including a new telephone system, a campus-wide data network, and video network cabling. The biology and chemistry building was renovated to include reconfiguration of labs and other upgrades. The university established a collaborative research and technology institute and acquired additional property adjacent to the campus for future expansion. The evidence also showed that the university conducted an audit of the physical plant in the early 1990s, which identified needed improvements to the resident halls. These changes were made, and additional repairs and improvements undertaken.

The funding and acquisition of academic equipment was considerable from 1987 forward, as documented in the Self Study and annual reports. Research grants totaled $5.9 million between 1989 and 1992, including funding for equipment and computers. In 1990-91 the university received foundation grants of $401,825 for biology, chemistry, and physics and $175,000 for engineering, and a corporate grant of $100,000 for electrical engineering equipment. Records showed $92,173 was received from the National Science Foundation for scientific equipment in 1992-93, $74,000 from another foundation for biology lab equipment in 1993-94, and donated equipment and software totalling $2.1 million in 1992-93 and $906,000 in 1993-94. The development officer described the professional schools as being well-equipped with computers and also reported a successful $50,000 mini-campaign to obtain computers for every engineering professor.

The Self Study asserted the many and substantial improvements in the plant and equipment were made in support of the mission. Campaign literature described campus expansion projects as not only benefitting the university but as demonstrating a commitment to serving as a key resource for the city and region in which the

institution was located. Landscaping was credited with creating a more campus-like feeling. Above all, the new buildings, equipment, and outdoor spaces were viewed as the tools that enriched and enhanced the educational experience.

The 1987 plan called for the development and implementation of a comprehensive collections policy for the library. Although data from institutional reports and the Self Study showed consistent growth in all areas of the collection, the re-accreditation team found it modest in size, especially given the enrollment and scope of the institution. Further, no comprehensive collections policy existed at the time of the 1994 visit, although the institution reported one was being developed. The team also noted that existing resources were inadequate to support curricular and research needs. Finally, they expressed concern about the lack of involvement of library staff in any aspect of university planning. It was reported by the development office that by Spring, 1995, $300,000 had been raised toward a goal of $500,000 goal to build an endowment for acquisitions in the humanities.

Although a stunning new library was opened in 1992, providing extensive resources and information through automation, systematic development of the collections remained largely unaddressed. Interview data suggested that the increased access to external resources afforded by the new technology may have diverted attention away from careful development of the collections. One faculty member claimed most faculty were unaware of available funds and their ability to influence library acquisitions. Further, it was suggested that there was little communication or coordination between the library and individual departments. Nonetheless, this contemporary, new facility, replete with extensive technology, was itself testimony to academic quality and increased flexibility.

A strengthened faculty was another means by which quality was to be addressed. The number of faculty appeared to increase markedly. Although comparable data were not available from a single source, information provided by the Self Study showed 268 full-time faculty in 1993-94 as compared to 260 in 1992-93. In 1984-85, the annual report listed 188 full-time faculty, a slight increase from the

184 reported for 1983-84 in CAPHE documents. This pattern of growth was confirmed by the chief academic and financial officers, among others, with reports of the size of the faculty having increased by one third over the course of a decade. The number of part-time faculty varied in the different reports. The president noted that early retirements were used to improve faculty ranks, and academic officers reported they sought to attract and retain good faculty, those with appropriate terminal degrees, and a commitment to teaching.

There was little evidence to show that the faculty was strengthened through the use of compensation, review, and development. Several of those interviewed cited concerted efforts to improve the salary levels, but acknowledged some inequities remained between the professional schools and the arts and sciences faculty. No salary trend data were available to assess these changes. Although evidence pertaining to peer review was not obtained, both the Self Study and the re-accreditation team found that the Schools of Business, Law, and Engineering more clearly articulated their expectations of faculty than did the others. In support of this objective, the Self Study report encouraged a reduction in teaching loads, the addition of summer stipends, salary incentives, expanded opportunities for sabbatical leaves, and increased funds for professional travel. These recommendations devolved from findings that support for these activities was neither sufficient nor equitable, suggesting little progress in this area.

The 1992 plan placed an emphasis on the primacy of teaching while also making a commitment to scholarship in support of the teaching mission. It was not evident that additional resources were made available to reward teaching and/or scholarship. The budget for research did not increase between 1992 and 1993, according to the 1993 Progress Report. The university also acknowledged, in the Self Study, that internal funding in support of faculty research had increased only modestly and that release time for such activities was rare. Although the president and others placed a high priority on teaching, they attributed the emphasis on research and scholarship to accreditation requirements. Nonetheless, as a consequence of the

increased selectivity in admissions, several of those interviewed asserted that faculty were pushed to improve the quality of their teaching.

The emphasis on teaching was most noticeably promoted through fund raising activities. The annual fund was renamed the "great teachers program" and various alumni publications featured profiles and achievements of faculty members. Faculty received numerous awards from external organizations promoting teaching excellence, service, or research with a community focus. Among these awards was a faculty member named as 1987 state-wide professor of the year, recognition of a faculty member as one of 25 best teachers nation-wide, and a $25,000 excellence in teaching award bestowed on the School of Law in 1993-94. In 1989 the university was chosen to participate in the Sears Excellence in Teaching award program. As related in each of the president's annual reports, institutional awards were also bestowed honoring excellent teaching and scholarship.

Given the emphasis on undergraduate teaching, scholarship was broadly defined. Information cited in the Self Study indicated faculty produced 565 books, book chapters, and journal articles between Fall 1989 and Fall 1992. In 1991-92 a biology professor received a $162,049 grant from the National Science Foundation to facilitate research. That same year a chemistry professor was awarded a foundation fellowship, and the university received four government grants to teach teachers more effective instructional methods. In 1994 the university was awarded a foundation gift which funded a five year professorship in biochemistry, honoring both the faculty member and the institution.

Academic programs were to be enhanced by systematic reviews and a process for outcomes assessment. Annual reports, interview data, and the Self Study indicated the professional schools were far more successful in these endeavors than the College of Arts and Sciences. The School of Business received full accreditation, according to annual reports and the Self Study, in 1990 and developed its own strategic plan in 1993 to include a complete restructuring of its curriculum. The School of Engineering became fully accredited in 1984, was reaccredited in 1990, and

in 1993 developed its vision statement for the year 2000. The School of Education underwent a professional association re-accreditation review in 1993. External evaluators continued to meet with the university to assess its progress toward meeting certain requirements. The School of Law, long accredited, was last reviewed in 1992 at which time it developed its vision 2000 statement including a major curriculum revision scheduled for implementation in 1995-96.

There was no evidence of an institution-wide, systematic review of academic programs. The Self Study listed enrollment statistics, student awards, post- graduate employment, faculty evaluations, and reports by outside evaluators as measures by which the success of programs was monitored. The visiting ream indicated these were inadequate, citing little evidence of any systematic, institution-wide attention to outcomes assessment. Those interviewed concurred that no system of program review had been initiated.

The liberal arts tradition was preserved through the core curriculum which, as documented in college catalogs and the Self Study, consisted of five common blocks in the areas of English, mathematics, religion, philosophy, and thought and expression, and the requirement of 28 additional credits in the arts and sciences to include history, fine arts, laboratory science, social science, and foreign language or culture. The president noted that liberal arts courses were also built into the requirements of the professional schools. The core curriculum, as outlined in the course registration guide, showed this to be true, although these requirements were not as extensive as those for arts and sciences.

Recommended improvements in academic services appeared to be minor. A long-standing faculty advising system was augmented by trained staff in the counseling and career assessment center. An additional part-time counselor was added to expand services in this area according to interview data. No other enhancements were observed.

The addition of more flexible options was successfully addressed through the addition of numerous new programs, off-campus options, evening sections of high

demand core courses, and lower tuition rates for non-traditional students. A review of college catalogs and annual reports for the period from 1984 to 1995 showed numerous curricular additions, the majority at the graduate level. There was no evidence of any consolidation or elimination of programs.

Changes at the undergraduate level were minimal with new programs designed primarily for non-traditional students. According to college catalogs, no changes occurred in the undergraduate majors offered by the College of Arts and Sciences. However, those interviewed reported the development of several new concentrations within existing majors, and the catalogs showed that a distance learner option was added to the bachelor of science in nursing program in 1988 and a women's studies concentration was offered beginning in 1991. The College of Arts and Sciences did add two new masters programs, one in Spirituality in 1985 and one in Pastoral Ministry in 1987.

Flexibility was most evident in programs offered by the School of Professional Studies, euphemistically referred to as adult or continuing education. A bachelor degree in general studies, designed in 1975 for adults and working professionals, provided a flexible and personalized degree program for non-traditional students. During 1989-90, according to college catalogs and annual reports, three new programs were added in human resources, pre-MBA, and humanities. At the graduate level, two new masters degree programs were added, one in organizational leadership, in 1987, and one in nursing in 1989.

The School of Education also created more options with a focus on in-service training for practitioners. An academy for educational leadership, described in both the Self Study and several annual reports, was established to offer cohort-group instruction at local school district sites leading to a doctoral degree in education. One-third of the faculty in this program were non-university based adjunct instructors. Three masters-level programs were also added, two in teaching during 1987 and one in computers in 1989, bringing the total number of graduate degrees offered by the School of Education to ten. A bachelor degree in education in native indian

leadership was also begun in 1987. According to the Self Study, the majority of masters level students were enrolled in a variety of off-campus, center-based programs designed to meet the needs of educational practitioners.

In other areas, the School of Engineering added a masters in mechanical engineering in 1988 and the School of Business added a masters in accountancy in 1991, as reported both in college catalogs and the Self Study. In 1992 the School of Engineering also implemented a concentration in environmental engineering and established a center for engineering design to enhance the content of the curriculum and promote more integration with regional industries. The School of Law added no new programs but did receive a three-year, $714,000 grant in 1994 to expand its clinical program to assist disadvantaged populations in the region. In addition, the law school dropped its evening program in 1990 due to declining enrollments.

Flexibility was evidenced in other ways, as well, as documented by the course registration guide. The university offered telephone registration services, evening classes in most disciplines, and some weekend courses in the School of Education. Tuition for working adults enrolled in the bachelor of general studies program was $210 per credit as compared to $395 for other part-time students. The addition of programs targeted at non-traditional students appeared highly successful in terms of revenues. Financial records showed that income from off-campus education programs grew 810 percent between FY85 and FY94, rising from $224,667 to $2,044,390 per year. Data showed the most dramatic increases occurred in FY88, FY91, and FY92 when income rose by 158, 47, and 48 percent respectively. Revenues from off-campus professional studies programs grew from zero in FY88 to $343,550 in FY93. It was not possible to determine whether these increased revenues substantially offset the additional expenses incurred by the creation of these programs.

While the 1987 plan outlined the need for increased flexibility, 1992 plan objectives called for a carefully chosen and balanced program mix. The re-accreditation team, however, found much the opposite observing that new graduate programs seemed to emerge without careful planning--either in terms of cohesion

within the curriculum, qualitative standards, or requisite fiscal and staffing resources. The team also expressed concern about the proliferation of graduate programs and lack of quality control. Finally, the team found little evidence of adequate support services for working adults. Given the recent re-accreditation of, and planning done by, the Schools of Business, Engineering, and Law, it appeared that these criticisms pertained principally to the Schools of Education and Professional Studies. Interview data suggested that subsequent to the re-accreditation review, efforts had been made to curb the proliferation of graduate programs and to eliminate those with marginal enrollments.

On balance, the tremendous growth in the physical plant and academic equipment, the improved quality of the student body, the continuing strength of the liberal arts and teaching traditions, and an academic program expanded to meet the needs of non-traditional students seemed to outweigh the lack of progress in library collections, faculty development, and academic services. The absence of systematic program review and the unmanaged proliferation of graduate programs were areas as yet unaddressed and in need of attention.

Fiscal Matters. The 1987 plan set out to broaden the financial base of the institution in order to reduce its reliance on tuition revenues. Specific action steps included cost controls, increased income from endowment, increased revenues from auxiliary sources, expanded fund raising activity, and a greater number of students with low financial need. Although evidence indicated finances improved in several ways and the university remained in good fiscal health, the goal of this strategy was not realized.

Over the ten year span from FY85 to FY94, based on audited financial statements, total revenues from all sources grew from $26.7 to $62.4 million, an increase of 134 percent. The growth of E and G revenues, including tuition and fees, outpaced that of auxiliary enterprises, rising 142.5 percent as compared to 83 percent. Tuition revenues grew by 160 percent during this period, representing an increase from 78.7 to 84.4 as a percent of E and G revenues. All other sources of revenue

grew at a rate slower than that of the overall budget thus increasing the reliance on tuition and fees, contrary to plan objectives. The Self Study acknowledged this increased dependency on tuition revenue.

Also contrary to plan objectives, income from auxiliary enterprises as a percent of total revenues, dropped from 14.5 to 11.4 percent. Nevertheless, those interviewed cited good progress in this area, particularly with regard to the bookstore and conference services. Bookstore revenues from non-book sales were said to have grown considerably and gross profit reportedly doubled in recent years. Revenues derived from third party usage of facilities grew with the addition of a conference center and greater use of residence halls during the summer months. Further, the student center, opened in 1993, was reportedly funded by auxiliary revenues. These efforts to broaden the income base were not, however, reflected in the total revenues for auxiliary enterprises. According to the chief financial officer, most of this income stream consisted of room and board charges, an area where the university intentionally chose to keep annual increased below those of tuition, since housing and food services affected only about one-half of the student population. Attention was given, however, to maintaining high levels of occupancy in campus housing and, as previously noted, an apartment complex was added in 1994. Trend data for athletic program revenues showed below average increases.

Audited statements revealed the endowment grew from $14,352,206 in FY85 to $46,066,193 in FY94, an increase of 221 percent. Although the growth in dollars was substantial, income rose only 89 percent. Endowment income as a percent of total revenues fell from 2.4 to 2 percent and, as a percent of E and G revenues, fell from 2.8 to 2.2 percent. As noted by the re-accreditation team, in spite of such dramatic growth in the principle of the endowment it remained relatively small given the size and scope of the university.

The growth in E and G expenditures was more than that of revenues, rising 142.6 percent between FY85 and FY94. Allocations for instruction increased at a nearly comparable rate of 142.6 percent and, with some minor annual fluctuations,

continued to represent 43 percent of the E and G budget. Allocations for the library, scholarships, and student services, including admissions and academic support, grew at a disproportionately greater rate, rising 230, 195, and 172 percent respectively during the ten year period. The dramatic rise in library expenditures was, in part, attributable to the opening of a new facility in 1992 following which the budget increased 29 percent in a single year. Scholarship expenditures, as a percent of the E and G budget, rose from 19.5 to 23.7 percent. As noted by the chief financial officer, this was the area in which increases were consistently most significant. There were no data as to the number of students with high and low financial need to indicate any changes in this mix. Interview data indicated that the growth in student services was primarily due to expanded marketing and recruitment as well as to several staff appointments in career counseling and advising.

Between FY85 and FY94, expenses for general administration, departmental education activities, and plant operations rose at rates of 74, 101, and 109 percent, well below the overall increase of 142.6 percent in the total E and G budget. Expenditures for auxiliary enterprises were also below the overall average, showing a net gain of 98.4 percent over the ten year period. Increased budgetary support for operations necessarily grew given the substantial amount of campus development, although at below average rates, and the visiting team report described the operations area lean, but well-run. The chief financial officer noted that allocations for reserves and for renewals and replacements were increased in recent years, but no effort was made to confirm this statement.

Based on fiscal data, it appeared the institution maintained a consistent emphasis on the academic program and did a good job limiting growth in many non-academic areas. Above average increases in scholarship aid were offset by below average increases in institutional support and plant operations. The comprehensive analysis of plant and maintenance operations given in the Self Study indicated those departments continually assessed their activities, both to increase cost efficiencies and improve performance. Yet interview data suggested that many faculty perceived

greater expenditures in these areas than actually occurred. Some surmised this was due to a lack of information and the high profile of the construction projects. The chief financial officer and several vice presidents indicated they were successful at controlling costs for their various departments, others felt this was an area which warranted more attention. The growth of employees, especially faculty, was cited as a concern.

Fund raising efforts met with much success, as documented in financial records, development office records, alumni newsletters, and the final campaign and Self Study reports. In Spring 1992 the university completed a major capital fund drive, raising $72.9 million and thus exceeding a goal of $62 million. Originally, a five year goal of $33 million was set in 1985 with $18.5 million targeted for facilities, $9 million for endowed scholarships, and $5.5 million for faculty support. That figure was increased to $62 million in 1989 to include $20 million for a new library, $3 million for an art center, and the balance for additional endowment. At the conclusion of the campaign, a total of $34.5 million was committed to building and renovation projects, $11 million donated for endowed scholarships, five endowed professorships established, and $14 million raised for current unrestricted support. In addition, the university secured $16 million in planned gift commitments, creating an important source of future funds. The chief development officer indicated capital giving remained strong as a result of the momentum created by the campaign. Preliminary discussions about a new campaign had begun with hopes of raising upwards of $200 million, principally for endowment.

Gifts to the annual fund increased 68.7 percent between FY85 and FY94, from $654,411 to $1,104,039, while the number of donors increased 92.5 percent from 1,813 to 3,490. In spite of the progress made in the annual fund, the rate of growth was far below that of all other sources of income, and gifts as a source of E and G revenues declined from 3.4 to 2.3 percent.

In 1986 the college issued $9.2 million in revenue bonds to assist in the purchase of property and equipment and refinance existing debt. The audited

financial statements for FY87 showed the total debt obligation stood at $12 million, up from $6.5 in FY85. Annual payments gradually reduced that obligation until 1991 when the college issued an additional $10.9 million in revenue bonds, to fund several new construction projects, bringing the total debt obligation to slightly more than $21 million. Although payments to service this debt increased substantially, they declined from 3.9 to 3.1 as a percent of total expenditures. In 1993-94, according to the annual report, the 1986 bonds were refinanced at a 2 percentage point annual savings. In 1994, debt service from current fund E and G expenses stood at 2.2 percent, considerably below the national average of 5 percent, as noted by the Self Study.

Budgeting at College E, based on interview and Self Study data, was a fairly closed process having remained unchanged from the approach used prior to planning. There was little participation in the setting of overall budget priorities for the institution, nor was there evidence that the budget was linked in intentional ways to the strategic plan. Further, funding for new initiatives came largely from the acquisition of new resources rather than through a reallocation of existing resources.

The budget committee, which included elected faculty representatives, appeared to have little involvement in creation of the budget. Those interviewed and the Self Study described a process handled by department heads, deans, and vice presidents. The revenue side of the budget was developed, using past trend data. Once tuition was set, the expense side of the budget was built. Requests from department heads and deans were submitted to the vice presidents who then worked with the chief financial officer to determine what, if any, new projects would be funded.

The financial officer stated he took responsibility for including institution-wide needs, such as technology, in the budget and expected other vice presidents to do so for plan objectives pertinent to their areas of responsibility. The vice presidents were free to reallocate funds among and within their departments, which several reported doing. One cross-trained staff in order to meet seasonal needs, thus freeing resources for other uses. Yet, the extent to resources were actually shifted to meet plan

priorities appeared limited and uneven. Those interviewed repeatedly cited a lack of flexibility due to the high level of fixed costs, particularly in terms of personnel and plant operations. None viewed cutting programs as an option.

Most of the funds allocated in support of plan priorities appeared to have been derived from new resources rather than any thoughtful reallocation of institutional budgets. New gifts and grants funded construction and renovation projects; increased tuition revenues supported growth of the financial aid budget. Some of those interviewed believed salary levels suffered as monies were directed to other areas.

The link between the budgeting process and institutional priorities, as outlined in both strategic plans, was acknowledged as weak by all of those interviewed. The 1987 and 1992 plans contained cost estimates for a few of the objectives, but showed no cost projections for the more fiscally-dependent initiatives. Nor was there evidence a financial plan was later developed.

Overall, the institution was, in many ways, in better fiscal health. Budgets remained consistently balanced, fund raising efforts were highly successful, and enrollment grew generating increased revenues. Yet, as noted by the visiting team, finances remained fragile. The institution had become even more dependent on tuition, financial aid expenditures continued to grow, and the endowment was still relatively small. Those interviewed appeared unwilling to make program cuts and, in spite of good financial management, the link between strategic plan priorities and the budgeting process was never established. The re-accreditation team noted an absence of clearly articulated, shared priorities with budget allocations focused on short-term problems rather than on long-term goals. The institution acknowledged, in the Self Study report, that the adequacy and stability of income was directly affected by the ability to attract and retain undergraduate students.

Location. The 1987 plan outlined initiatives related to visibility, community outreach, promotion, and campus beautification. The 1992 plan sought to maximize the relationship between the institution and the city, for the benefit of both, through involvement with business and industry, expanded outreach, and increased

participation by community members in the programs and services of the institution. This objective was achieved through activities in each of these areas.

The surrounding area served both as a resource for students and an object of stewardship. The career services office expanded its marketing of students to the community for internship and placement purposes. Figures cited in the 1994 Self Study showed the number of recruiters visiting the campus increased by 50 percent each year after 1989. Outreach to the community, well-documented in annual reports and student handbooks, was achieved through student volunteerism, campus ministry, public access to library resources and on-line services, and partnerships with other area organizations. In 1987, according to the annual report, the university developed a regional research institute in collaboration with the business community and neighboring academic institutions to assist in regional economic growth. Interview data indicated the engineering school used design projects to link students with the business community, and the business school held an annual economic symposium for area business leaders, quarterly breakfast forums, and used outside professionals as lecturers.

Evidence of efforts to expand use of institutional facilities and increase participation in cultural and educational programming was also found. Symposia addressed issues of interest to area business leaders and educators, non-traditional academic programs were added, off-site centers established, and a conference center opened, all documented in various annual reports, the Self Study, and other published documents.

To a lessor degree, promotional messages were used to implement this strategy. A review of college catalogs from 1984 through 1994 showed no substantial change in messages. Admissions literature, for the same period, promoted the idyllic nature of the location and opportunities afforded by the surrounding region in a fairly consistent fashion. However, interview data indicated that a new admissions video prominently featured the location; location was promoted to prospective students during the campus visit, and orientation activities included an introduction to the

region. One administrator stated that location became the second most important message, after that of the Jesuit identity. It was noted that public relation activities to raise visibility were expanded and, in 1992, a targeted approach to news release distribution was implemented resulting in increased media coverage. There was no evidence with which to confirm this statement.

This strategy was best realized, some asserted, through the personal involvement of university members in the larger community, most especially that of the president. Those interviewed reported that the president focused his efforts locally, rather than nationally, and worked tirelessly to forge and nurture relationships with members of the community, encouraging others to do likewise. The 1987 annual report highlighted several public events at which the president linked the growth and development of the university with that of the city. During 1988-89, he served as head of the local Chamber of Commerce. As he noted in the alumni annual report for that year, the university had become a major force in the cultural, business, and financial life of the community furthering the partnership between the university and the city. The vice presidents, deans, and faculty similarly became more active and visible according to those interviewed, serving on community boards, participating in the annual city leadership program, and providing research and professional expertise.

The success of this strategy appeared to have been the increased goodwill and interaction between the university and the community, with many giving primary credit to the president. As an outside business professional noted, the influence and respect garnered by the president was extensive and much benefitted the institution. College E, having become an active participant, both drew from and gave back to the surrounding region. In the process, the stature of the institution grew; a result of intentional efforts to develop the image of the institution.

Marketing Approach. The 1987 plan advocated a coordinated, institution-wide marketing effort, new graduate offerings, and library outreach programs. Several of those interviewed considered marketing the vehicle by which the value of the university was more broadly communicated and enrollment goals achieved, rather

than a strategy unto itself. In spite of a slow start, the institution appeared to make progress in this area.

Initially, the university demonstrated it was market-responsive through the curricular revisions and more flexible degree options previously discussed. These changes were augmented by the establishment of off-campus centers, increased numbers of evening courses, and similar changes targeted at non-traditional students.

A concerted marketing approach was also evident in the admissions operation and indicated the department was responsive to external conditions. Recruitment literature was extensive and varied and student interview data confirmed a marketing-oriented process. A standardized admitted student questionnaire was administered annually providing detailed information about competitors, student interests, and ratings of various college characteristics. Multi-year comparisons were used to track changes in student perceptions about the college, as documented in admissions reports. Interview data indicated marketing messages were adjusted accordingly and recruitment strategies revamped. The department adopted a more personal approach, using more alumni and faculty in the recruitment process, but also stressed academics more. Faculty became more involved in student recruitment, as reported in the Self Study and noted by those interviewed, participating in campus meetings with prospective students, telethons, and correspondence. The department also created a special brochure just to promote the national recognition conferred on the university by various national publications. A 1995 edition of the alumni news stated that inquiries from interested candidates more than doubled from 1990 to 1994, rising from 13,120 to 28,512 per year.

A review of recruitment literature over a ten year period revealed colorful, professional publications with lively and inviting text and photographs. By contrast, the majority of alumni and development publications for this period looked rather drab and old-fashioned. An exception was the 1992 final campaign report which reflected the colorful and engaging style of admissions viewbooks. Other documents, such as the president's annual report, were comparable to alumni publications and

showed no significant changes in design until 1993, at which point these also began to reflect an updated style. The themes of the strategic plan were consistently reflected in the messages of all publications.

A director of marketing was appointed in April, 1991, as noted in the Self Study and confirmed by interview data. The position reported to the president and had primary responsibility for university-wide marketing strategies designed to enhance the image of the institution on a regional level. Specific functions included market research, retention, management of special major events, and serving as a liaison to integrate the work of various departments such as admissions, development, alumni affairs, and public relations. A fully coordinated approach, however, was reported to be difficult given the autonomy of many departments. The lack of an integrated computer system linking the admissions, financial aid, registrar, and student services data bases was also cited as contributing to less than desired coordination between those offices.

Between 1991 and 1995, interview data revealed considerable effort was directed at getting national recognition for the university with good results. The 1991 annual report cited national rankings in several popular news magazines. A 1994 alumni newsletter reported the institution was ranked among the best regional institutions by another national magazine. Several public relations and admissions materials cited touted the rankings given by these multiple national news magazines and college guide books as testimony of academic excellence.

The creation of formal, institution-wide marketing plan did not occur. However, interview data revealed the creation of an "image committee" in the mid-1990s. The committee, comprised of the vice presidents and the admissions and marketing directors, was formed to assess various perspectives of the image of the university, and develop a more consistent approach so that the combined messages of all departments would be more forceful and effective. External focus group meetings were conducted in 1994, and an internal image study was being developed in Spring 1995.

Enrollment. Although the recruitment and retention of an able and diverse student body was added as a major goal in 1992, the 1987 plan was motivated, in part, by enrollment concerns and included marketing as a strategy. In addition to substantial growth in the size of the institution, the student body changed considerably in terms of academic qualifications and geographic diversity. Increased ethnic diversity was not achieved.

In 1983-84, according to CAPHE documents, enrollment totalled approximately 3,400 of which 2,300 were undergraduates. Over the next decade, the institution continued a previously established pattern of growth. Institutional research data showed the number of undergraduates rose from 2,327 to 3,030 between Fall 1983 and Fall 1994, an increase of 30.2 percent. The combined enrollment for all undergraduates, graduates, and the law school rose 38.3 percent, from 3,464 to 4,791, between Fall 1983 and Fall 1994, and grew a total of 39.5 percent since 1980. The increase in part-time undergraduates far outpaced that of full-time students, rising 63.3 percent between 1983 and 1994. Graduate enrollments, exclusive of the law school, rose 106.7 percent during this period.

Programmatically, as reported in the Self Study and partially confirmed by institutional data, enrollments increased for non-traditional undergraduates, particularly those in the general studies program; non-traditional students at the graduate level, especially those pursuing the masters degree in organizational leadership; and in the School of Education. There was also some growth in the numbers of engineering students. Enrollments in the business school dropped beginning in 1990 and the law school, having experienced significant declines during the 1980s, recovered to its 1983 level by 1994.

There was a net increase of 15.6 percent in new freshmen between Fall 1983 and Fall 1994, as documented in Registrar and Admissions reports and the 1994 Self Study. An increased number of transfer students also exceeded plan goals, rising 61.6 percent from 206 in the Fall 1984 to 333 in Fall 1993. Although the freshman enrollment trend was positive, it was erratic. After rising from 494 in Fall 1983 to

551 in Fall 1988, the number of freshmen declined for the next two years to 501 and 481. During the Fall of 1991 and 1992, freshmen enrollment climbed to 634 and 625, fell to 525 in Fall 1993, but rose again in Fall 1994, to 571.

The goal to improve retention met with generally positive results. Figures from Registrar records showed that the five year graduation rate for cohort groups, after falling from 53 to 49 percent for freshmen entering in Fall 1982 and Fall 1983, rose and remained fairly steady at 57 percent for freshmen entering from Fall 1984 through Fall 1988. Yet there was no clear authority for retention. The admissions office developed software to provide predictive data about students to aid in both admissions decisions and retention efforts, as noted in the Self Study Report. The report also indicated that the cross-cultural student organization worked to improve retention but that the university had difficulty retaining students unfamiliar with the social climate of the institution. Although more was being done to inform and educate faculty, according to those interviewed, most continued to view the responsibility as that of student affairs. Improved on-campus services, expanded social and recreational opportunities, and better housing facilities were actions cited as taken to improve student retention.

Academically, there was steady improvement in the academic profile of entering freshmen. Admissions and institutional research reports showed that combined SAT scores rose from 949 in Fall 1983 to 1047 in Fall 1994. The average grade point average rose from 3.1 to 3.51 during the same period. A fact book reported that 50 percent of the 1994 freshman class had a high school grade point average of 3.5 or higher, more than 10 percent were high school valedictorians or salutatorians, and over 60 percent of the undergraduates ranked in the top fifth of their high school graduating class. Several publication stated that nine members of the 1991 freshman class were National Merit Scholars, as were 6 of the 1994 entering class. In 1992, in support of efforts to increase quality, the application process was made more rigorous according to interview data and the Self Study. The form was expanded from 2 to 4 pages and students were asked to submit a personal essay.

The student profile also changed geographically. In 1983-84, according to CAPHE documents, 37 percent of the student body came from a distance of 500 miles or more. In 1994-95 a variety of publications reported that 50 percent of the students came from at least 500 miles away. Institutional research data showed the proportion of in-state freshmen fluctuated slightly, between 54 and 51 percent, from Fall 1983 through 1991 and then fell each year thereafter to 37 percent in Fall 1994. The increase in out-of-state residents was largely from western states, albeit some from distances of greater than 500 miles. Several of those interviewed suggested the institution benefitted, in part, from increasingly limited accessibility to public institutions and continued growth in the population of the region; others disagreed.

The student population was of varied ages. In 1994, 17 percent to the undergraduate student body was 25 or older according to the fact book. Among graduate students, 42 percent were between the ages of 40 and 50, and the average age of law school students was 27. The age range of students presumably broadened with the growth of graduate and professional programs, but no reliable trend data were available to document changes in this area. The Self Study stated that the non-traditional undergraduate population had grown more substantially than that of traditional-age students, but gave no figures.

The 1992 plan and president's vision statement espoused a commitment to cultural diversity, a theme which transcended several plan objectives. However, various reports, interview data, and visual observations indicated the student body was largely homogenous, as were faculty and staff. A survey of faculty and students, conducted in relation to the 1994 Self Study, found the university ineffective in attracting a diverse student body and personnel, an assessment confirmed by enrollment data. According to the 1994 fact book, 91 percent of the students were Caucasian and 50 percent were Catholic. The 1993 Progress Report and 1994 Self Study report stated that efforts to increase minority students had expanded and were moderately successful, but no figures were given to substantiate this statement. CAPHE records showed 85 percent of the students were Caucasian in 83-84 and the

1988 annual report cited 86 percent were Caucasian and 60 percent were Catholic. These data, although not from consistent sources, suggested the student body became less ethnically diverse but more diverse in religious composition. Although the institution was founded to minister to Native Americans, an admissions officer reported this population proved difficult to enroll in spite of special recruitment activities. There was no other evidence of goals nor quantitative assessment of change in this area.

Efforts to broaden the socio-economic diversity of the student body and increase the academic profile were implemented, in part, through substantial increases in financial aid monies and changes in the way in which such aid was awarded as reported by those interviewed. Audited financial statements showed that expenditures for scholarships rose from $4,327,594 in FY85 to $12,775,289 in FY94, an increase of 195 percent. Scholarships, as a percent of total E and G expenditures, gradually increased from 19.5 percent in FY85 to 23.7 percent in FY94. According to the Self Study, a total of 70 percent of all students, at both the undergraduate and graduate levels, received financial assistance totaling $42 million, from all sources, in 1993-94. In 1994-95 that figure was reported as 78 percent in various publications. The 1993 Progress Report stated that 66 percent of the undergraduates received financial aid with the institution meeting 90 to 100 percent of the need for students with high academic standing and 70 percent of the need for the average student. Various other documents reported figures ranging from 75 to 84 percent of the students receiving financial aid. No comparative historical information was available. Institutional reports, fiscal audits, and Self Study data all showed that as the aid budget grew, and federal and state revenues remained static, the proportion of unfunded institutional aid rose significantly.

The progress report, Self Study, development office records, and final campaign report cited $11 million was raised for endowed scholarships during the capital campaign, resulting in 85 new endowed scholarships and bringing the total scholarship endowment to $18 million in FY92. A 1993 endowed funds publication

showed 38 such scholarships were established between 1987 and 1993. A review of annual reports showed scholarship endowments continued rising to just under $24 million in FY94, with five new scholarships totaling $1,072,358 added in that year alone.

Holistic Education. The 1992 plan outlined a commitment to increase the coherence between academic and student life programs and resources. In the Self Study the university described itself as an institution which integrated the intellectual, spiritual, emotional, physical, and social needs of student. This student-centered, holistic approach reflected the Jesuit and humanistic tradition of the institution. The 1992 plan outlined quality of life, campus environment, and outcomes assessment as areas for action, but offered no further direction for how this goal was to be achieved, and the 1993 Progress Report stated a plan for doing so had not yet been developed. Actions taken by the institution in support of this goal consisted of enhancements to the physical plant and improvements in student services.

Relevant facility upgrades included residence hall improvements and a new student union, the latter a renovation of the former library. The new union was opened in 1993, according to several documents, providing students with a lounge, conference and meeting rooms, post office, student activities offices, and an expanded career center. Renovations to the residence halls were initiated in 1993 with additional improvements made each year thereafter. Students interviewed valued these improvements as well as the addition of the new library.

Plant improvements also meant better access for the disabled. The 1991 annual report noted the formation of a committee to address issues of access, and subsequent annual reports, the 1993 Progress Report, and the Self Study gave good evidence that access increased to a variety of academic, residence, and recreational facilities throughout the campus. The new library provided expanded technological support for the hearing and visually impaired, the number of dormitory rooms and handicapped parking spaces both doubled between 1990 and 1994, and barriers were eliminated along frequently traveled streets and sidewalks. The number of

handicapped students rose from 29 to 42 between 1991 and 1992, but no additional figures were available. It was not clear whether the improved access to facilities was the result of an intentional strategy or a beneficial consequence of the extensive construction occurring during this period.

Improvements in the quality of life were addressed in several ways. The mission statement for student affairs, printed in college catalogs and student handbooks, supported both the academic objectives and Jesuit philosophy of the institution. It cited interactions between students and faculty and staff as integral to the learning process and spoke to the importance of students becoming involved in a diverse spectrum of learning situations. Thus, student affairs programming sought to extend the education of students beyond the classroom. Several changes occurred which supported this philosophy. A review of student handbooks from 1984 through 1994 revealed a change in tone and substance from an easy and informal approach to a more serious and educational one. Interview data confirmed that students became more academically serious, were more competitive, and caused fewer disciplinary problems.

Activities initiated to enhance student life, as cited in interviews, were many. The career center was moved to the student union providing a more centralized location, staff were added, and more career fairs offered. Between 1989 and 1995, meal plans were made more flexible by increasing the number of options from 1 to 6. Apartment-style housing was acquired and more single rooms made available in student dormitories. Campus safety was improved through additional lighting and controlled access to dormitories, according to annual reports and the Self Study. Students interviewed felt the institution was receptive to their needs, but administrators noted that these changes raised their expectations in the ability of the student affairs office to be responsive.

The minority student office, representing a range of ethnic groups, was another way in which holistic education was addressed according to the 1993 Progress Report. Established in 1990, the office worked with the student affairs, admissions,

and financial aid offices to increase the enrollment, retention, and understanding of diverse cultures. College catalogs and the Self Study revealed the office managed 20 programs and support services including non-academic counseling, ecumenical student retreats, mentorships, resource materials, and career guidance.

The holistic approach to education was also evident in the extensive varsity and intramural sports and recreation programs. The repeated successes of athletic teams, often cited in annual reports and admissions literature, were complimented by the academic success of student athletes. In 1991, the university received national recognition as one of the top ten Division I schools nation-wide for the high graduation rate of its athletes.

Development of an active partnership between academic and student affairs did not occur. While institutional leaders declared support of this goal, it was not implemented programmatically except through efforts initiated by student affairs. As documented in annual reports and the Self Study, every student organization was assigned a faculty advisor, faculty were asked to serve on a number of advisory committees, they lived in residence halls as advisors, and were invited to participate in residence hall programs and events. In addition, faculty and Jesuits were included in the selection of new student affairs staff members. The orientation program for new students was revised in 1994, according to the Self Study, to incorporate an introduction to academic as well as social life. In spite of these efforts, the Self Study and interview data suggested that faculty did not view student life personnel as partners in the educational process. The visiting team wrote that the importance of this approach was recognized by the student life staff but not by the faculty.

The holistic strategy also intended that educational outcomes be defined, in developmental terms. Surveys, focus groups, and questionnaires were listed in the Self Study as those tools used by which student affairs measured the effectiveness of the department and its programs. Yet, there was no indication that these activities contributed to program improvements or ongoing planning activities. As reported earlier, the re-accreditation team found this approach to limited and fragmented.

Community. The 1992 plan sought to strengthen the spirit of community with a primary emphasis on communications, but gave no specific agenda by which this goal would be accomplished. The 1993 Progress Report cited the creation of a monthly employee newsletter, workshops to describe and promote the various services provided by different departments, and a new faculty/staff lounge. Some intra-departmental meetings were held and staff members were added to several academic committees. The Self Study report also listed these activities as new undertakings and cited several others. A service recognition program was instituted, benefits and personnel policies were studied and revised, the family leave program was expanded, and a communications workshop conducted.

These programs and activities were indicative of efforts to increase and improve communications throughout the institution. However, according to Self Study survey results, problems remained--a finding confirmed by the re-accreditation team and interview data. Survey data showed a good sense of collegial spirit across and within departments; but a perceived lack of influence in setting the overall direction of the university and tension between the historically close-knit, familial culture and that of an increasingly competitive, comprehensive university. The visiting team observed that the institution was evolving from a small, traditional-age, principally undergraduate institution with a campus that facilitated communication and interaction to one more comprehensive in mission, serving an increasingly non-traditional population, and considerably extended in physical size.

Technology. The enhancement of instructional and informational technology was intended to amplify the leadership role of the university within the community. A new library, termed the center for information and technology, was the keystone of this strategy. Other initiatives listed in the plan were the expanded use of technology in the classroom, an integrated administrative computer system, and increased student access. The library, in particular, not only contributed to implementation of the technology strategy, but aided programmatic flexibility, market responsiveness, and community outreach.

The new library was opened in Fall 1992, as documented in numerous college publications, and represented the latest in computer, satellite, and laser technology. Constructed at a cost of $20 million, Self Study data showed the facility housed a collection of 350,000 bound volumes, 2,000 periodical titles, 472,000 microform pieces, and audio-visual and other special collections. Resources included archival and research collections, as well as an array of sophisticated computerized information search and retrieval services. The four story glass and steel structure encompassed 137,000 square feet, as compared to 33,000 square feet in the former library; encased teleconferencing facilities, a large copying center, and a 24 hour student lounge; and provided numerous different venues for work and research. Media information services included viewing and production capabilities, graphic and photographic technologies, and microcomputing capabilities. A separate School of Law library, housing more than 190,000 volumes, was also available for faculty and student use.

In addition to serving the needs of campus clientele, the new library sought to respond to the information needs of regional businesses, governmental bodies, and educational institutions. As referenced in the Self Study, the 1993 Progress Report, and various annual reports, the library was committed to the concept of resource sharing. In 1991-92 the institution received a grant to partner with public K-12 school libraries to share video technology resources. During that same year it initiated an automated network system linking collegiate libraries throughout the region. The on-line catalog was also made available to area businesses and private citizens. However, circulation figures for 1991 through 1994 showed a decrease in use by external borrowers.

The library seemed singularly symbolic of the forward movement of the institution. Its sheer size, the advanced technology housed within its walls, and the variety of services offered conveyed quality and progress. Library expenditures, as a percent of the budget, increased from 3.34 to 4.53 percent between FY91 and FY94, as documented in financial and Self Study records. However, the lack of a

comprehensive collections policy, the exclusion of the library from institutional planning, and the decline in external borrowers, all noted earlier, suggested that the new library did not yet fully serve the university or the surrounding community.

The evidence suggested that an expanded use of technology for instructional purposes and increased student access were not effectively implemented. The 1993 Progress Report indicated that library staff offered orientation sessions to introduce users to the available resources and provided instruction in research methodology for faculty, students, high school teachers, and other external constituents. The department of computing and information services also conducted a broad range of ongoing training, to include various software applications and use of the Internet, and reported that the campus network system and the number of individuals accessing the network had grown substantially. The department, which oversaw all computing, networking, and data communications for student and employees, managed and operated both the central administrative and academic computers. However, the re-accreditation team found people confused about the responsibilities of these various departments and described efforts to meet the needs of students and faculty as fragmented. There was no other evidence addressing the use of technology for academic purposes.

Up through 1995, the university lacked an integrated computer information system to support its decision-making and management of operations. As noted by the visiting team, the absence of such a system, which affected budgeting, financial management, and enrollment, suggested a lack of effective coordination of resources. Although identified as an objective in 1992, no such system had yet been developed, a source of frustration to those interviewed. The Self Study indicated that as of 1994 such a system was being developed internally, with a targeted completion date of 1997. In Spring 1995, the university changed plans and made the decision to purchase the necessary software from an outside vendor with installation to begin shortly thereafter.

Implementation

Following formulation of the 1987 plan, the president focused his energies on achieving the goals of the capital fund drive. While tacitly responsible for implementation, he left the individual vice presidents to prepare and monitor their own operating plans. While some felt one of the vice presidents bore oversight responsibility, no single person was assigned or assumed this task. The various management plans, developed during the planning process, were intended to guide implementation. According to one source, these were reviewed and updated annually. Others, however, claimed there was no systematic review of the 1987 document and no impetus to execute it. The commonly held perception was that the plan went largely unimplemented. The campaign assisted implementation, serving as a vehicle by which several key objectives were realized. The focus on buildings, academic equipment, and scholarship endowment were all institutional priorities at the time.

By contrast, the 1992 plan was initiated by a new academic vice president who actively monitored and oversaw its implementation through campus-wide goal setting, annual reviews, and community-wide forums, an approach confirmed by interview data. The president began requesting annual operating plans and year-end reports, with some expectation these be tied to strategic objectives. Cabinet members verified this process, with several claiming to have used the 1992 plan to set the goals for their departments. Elements of the 1992 plan were also assessed through annual community-wide meetings and, in 1995, the plan was given a lengthy review by the president's cabinet. In spite of reportedly better implementation, faculty members described the link between institutional planning and departmental actions as weak, and several administrators claimed the plan no longer guided academic decision-making. Except for the 1993 Progress Report, there were no written documents to confirm these findings.

In the CAPHE grant application, the university stated its intention to give particular emphasis to measurability and implementation, areas in which many plans failed. The 1987 management plans included timetables, responsibilities, and some

measurable criteria. However, many of those interviewed characterized the plan as vague in contrast to the 1992 plan which they felt provided more specific direction. The opposite was, in fact, true. Further, while the 1987 document contained some cost projections, no comprehensive financial plan was developed. As noted by the chief financial officer, both plans represented long wish lists of goals which were not in concert with budget realities.

The 1992 plan document explicitly stated that plan objectives would guide the allocation of resources. This expressed intent to link the budgeting process to strategic priorities was not successful, as discussed earlier. The lack of funds was cited by some as the reason objectives were not implemented, others felt budget decisions were made without consideration of plan priorities. Yet the budget did reflect an increased emphasis on financial aid, technology, and admissions. Although neither plan drove the budgeting process, many objectives outlined in each were realized through the acquisition of new resources in the form of gifts and grants and increased tuition revenues. Resources to fund plant improvements, financial aid, and new programs were generated through new revenues. As a result, the university did not need to look seriously at budget reallocations.

Ongoing, institution-wide planning did not become evident until the 1992 planning process was initiated. Thereafter, the annual plans requested by the president and academic vice president, the 1993 Progress Report, work conducted by the marketing director, and other initiatives were considered evidence that planning continued. One vice president also reported using the strategic plan to develop a five year plan. Insistence by trustees, the president's growing comfort with planning, the marketing orientation and creative energy of new junior staff, and external pressures were all cited as factors influencing this continuing commitment to planning. The schools of business, engineering, and law each developed strategic plans in 1993, but the link between these and the university-wide plan was unclear.

Although many of those interviewed felt the 1992 plan was more systematically implemented and evaluated, several emphasized the importance of the

1987 plan as a foundation. The 1987 initiative was credited with establishing a mind-set for planning and helped the institution become more focused and strategic in its thinking. With the 1992 plan, the value and importance of planning became more apparent. Interview data and the Self Study showed the institution felt it not only became better at, but was committed to and practiced good planning. Conversely, the visiting team found planning fragmented and incomplete, citing a lack of clear priorities, the absence of any corresponding financial plan indicating funding sources or budget allocations by which to implement the plan, and no measures or provisions for assessment.

Factors Influencing Observed Results

The president was well-regarded and personally credited with the tremendous growth of the physical plant. He was not, however, viewed as highly supportive of planning. Several of those interviewed suggested this was not his strength; others noted the demands of the campaign necessarily commanded his attention. By contrast, the 1992 plan was initiated and clearly owned by the academic vice president, who was generally perceived as the individual who exerted leadership in planning. Although the president was not viewed as a planning advocate, he allowed the process to move forward and, in so doing, gave it his tacit approval. In recent years he was described as exhibiting more interest and leadership in this area. Presidential leadership did not appear to be a key factor in the success of the 1987 plan; the leadership exerted by the academic vice president was considered a contributing factor to implementation of the 1992 plan.

There was a fair amount of stability in the senior administration. Several of those new to their positions since the 1987 plan were already on staff as department heads, and thus were familiar both with the issues facing the university and the strategies chosen. There had been no turnover in senior staff since the creation of the 1992 plan. New staff at the director level were attributed with driving the planning process forward and pressing the institution to be more responsive to the marketplace.

Participation in the 1987 planning effort was limited principally to administrators while the 1992 process was more inclusive. Several of those interviewed felt the 1987 process was probably as broad as feasible, given this was the first such effort by the institution. The second initiative, however, intentionally sought the input of many and various stakeholders. In spite of such broad participation, opinions differed between administration and faculty as to the extent of ownership for plan objectives. The vice presidents reported a high level of buy-in and commitment to the plan, while interview data and the Self Study revealed faculty and staff felt they had little ongoing involvement in university decision making. Several of those interviewed suggested support for the 1992 plan was considerable at the outset, but waned over time.

The nature and substance of the plans may also have influenced the manner and extent to which they were implemented. A close look at the strategies revealed many objectives were abstract and somewhat intangible, and nearly all were heavily dependent on administrative initiative. While the 1992 plan was termed an academic plan, it conveyed no encompassing vision for the academic program which might have engaged the faculty.

Summary

From 1985, when the initial planning effort began, to 1995, much was accomplished. A substantial portion of the 1987 plan was achieved with good progress also made toward the objectives outlined in the 1992 plan. Most tangible were the changes made in the physical plant, endowment, and enrollment. During this time, the university constructed four new buildings, renovated or constructed major extensions to three additional buildings, acquired and renovated two new properties, raised $11 million for scholarship endowments, and increased its total enrollment by nearly 40 percent while also attracting a more academically talented student body. Less obvious, but equally significant, was the heightened focus on mission, which shaped and guided many other decisions and actions taken. There was

also substantial growth in the size of the faculty and in the number and variety of academic programs.

Most administrators felt the institution made significant progress toward its goals, faculty were less affirming. It was understood that not all objectives would be realized. Several of those interviewed described planning as an important educational process which forced the institution to see itself in relationship to its environment, with the added benefit of deepening the commitment of those involved, to the institution if not to the plan objectives.

Of the five strategies outlined in the 1987 plan, implementation of the identity, location, and marketing goals was extensive. The "quality" strategy was largely achieved through the much enhanced physical plant and extensive number of new program offerings, while finances benefitted from growth in the endowment and increased tuition revenues.

The identity and location strategies were repeated in the 1992 plan. The enrollment goal was partially met as the academic ability of students increased measurably, but efforts to achieve more cultural diversity were not successful. Technology was enhanced, albeit not as extensively as desired, and the emphasis on liberal arts and undergraduate teaching was maintained while the university became more comprehensive in scope. Success of the holistic and community objectives appeared minimal, but not without some efforts to address them.

Many strategies were inter-related, some subordinate to others. The holistic, community, and technology strategies articulated in the 1992 plan served as vehicles for achieving the Jesuit, programmatic, and location goals of both plans. The focus on technology also benefitted the academic program, and the marketing and location strategies supported enrollment goals. Acknowledging little difference between the 1987 and 1992 plans, several of those interviewed deemed the latter more successful because of broader participation and a greater commitment on the part of leaders to see it implemented.

The fiscal health of the institution, while improved in several ways, remained an area needing attention. The institution was in a more solid position given a larger endowment and its broader enrollment base, but it remained vulnerable to enrollment swings and had limited resources with which to meet ever increasing demands for funds. The endowment, while much improved, remained modest as did income from annual donations and auxiliary enterprises. As summarized in the Self Study, the future success of the institution depended on its ability to attract and retain students, which in turn relied on the availability of financial aid, adequacy of resources, and attractiveness of the image portrayed to parents, students, and donors in comparison to its competitors.

In many ways the pattern of growth demonstrated by the evidence began to emerge prior to formulation of the 1987 plan. The deficiency in facilities spurred the design of the 1985 capital campaign. Enrollment grew in the early 1980s as the university began adding programs which targeted non-traditional students. The president's avowed commitment to quality, in campus development, in enrollment, and in the Jesuit mission of the institution, emerged as a dominant theme. The outcomes observed largely correlated with this theme.

CHAPTER V
RESEARCH FINDINGS
CROSS-SITE ANALYSIS

The purpose of this chapter is to provide, in narrative form, a synthesis of the findings for the five qualitative case studies, and to identify trends and commonalities with regard to the long-term outcomes of strategic planning. Both quantitative and qualitative measures were used for cross-site comparisons drawing from IPEDS reports, institutional documents, and interview data, as well as from the individual case analysis narratives. The cross-site analysis examined all five institutions collectively with regard to (a) the changes which occurred over an extended period of years, (b) the nature of the planning, and (c) major factors which influenced the observed results. The methodological framework for this analysis is outlined in Appendix F.

Observed Results

The following section assesses what outcomes were actually realized for the five institutions collectively in the areas of financial condition, enrollment, academic affairs, and physical plant; and summarizes the extent to which strategic plan goals were achieved. The fiscal years 1985 through 1994 were used as the standardized basis for comparison.

Financial Condition

Changes in the source of revenues, allocation of expenditures, and growth of endowment were the primary indices used for a composite assessment of fiscal changes at the sample institutions. The analysis was based on a comparison of quantitative data, supported by qualitative data where appropriate.

Institutional revenues grew at varying rates between fiscal year 1985 (FY85) and 1994 (FY94), with increases ranging from 55.1 to 133.8 percent. At all five

colleges, revenues for the Education and General (E and G) portion of the budget grew at a faster pace than did income from auxiliary sources. For the purposes of this study, the most useful cross-site comparisons lie in changes in E and G revenues and expenditures.

Revenues. The growth of E and G revenues ranged from 56.5 to 142.5 percent over the ten year period from FY85 to FY94, as evidenced by IPEDS data and shown in Table 1. All categories of E and G revenues increased at all five institutions, with one minor exception, although income from some sources rose more than others. In all but one instance, the rate of increase for tuition and fees and for income from endowment exceeded that of total E and G revenues. The rate of growth for gifts and grants from private sources was below that of total E and G revenues for all five institutions, as was income from government sources with one exception.

All five institutions grew increasingly dependent on tuition and fees between FY85 and FY94 with increases ranging from 76.9 to 160.1 percent. Not only did the rate of growth in tuition exceed that of total E and G revenues for all five institutions, but tuition income as a percentage of revenues also increased considerably for all colleges. Tuition as a portion of E and G income increased from 62 to 68 percent at College A, from 79 to 82 percent at College B, from 70 to 79 percent at College C, from 43 to 51 percent at College D, and from 79 to 84 percent at College E. Yet the increased reliance on tuition and fees was often viewed as a consequence of the decline in federal support for student financial aid.

Table 1

Percent Increase in Revenues from FY85 through FY94

	College				
	A	B	C	D	E
Total Revenues	91.0	100.5	55.1	59.2	133.8
Auxiliary Income	73.7	92.9	41.1	52.2	82.9
E and G Revenues	95.9	106.3	56.5	60.5	142.5
Tuition and Fees	115.3	114.2	76.9	92.7	160.1
Endowment Income	186.8	515.3	79.3	106.7	89.4
Gift and Grants	42.2	99.7	-18.9	3.2	33.5
Government Funds	31.3	22.7	24.3	542.5	101.1

Endowment income, as a source of revenue, also grew with increases ranging from 79.3 to 515.3 percent. IPEDS data showed that the ten-year rate of growth for endowment income, from FY85 through FY94, exceeded that of total E and G revenues at four of the five institutions. Further, the contribution from endowment earnings, as a percentage of E and G revenues, increased at four of the five institutions, rising from 4.7 to 7 percent at College A, from .3 to .95 percent at College B, from .8 to .98 percent at College C, and from 12.4 to 15.9 percent at College D. It dropped, from 2.8 to 2.2 percent at College E. However, a closer examination of the evidence indicated less favorable results at three of the institutions. At College D, the considerable increase in endowment income was due to a large draw on principle, to offset budget deficits, as reported by various college personnel. At Colleges B and C, endowment income remained extremely low, contributing less than one percent to E and G revenues, thus having minimal effect on the budget.

The actual size of endowment principle grew at all five institutions, aided in part by capital fund drives; but there were some anomalies here as well. Overall, the growth in endowment funds ranged from 59.8 to 351 percent between FY85 and FY94, according to IPEDS data and institutional financial statements. Specifically, endowments rose 347 percent at College A, 98 percent at College B, 351 percent at College C, 59.8 percent at College D, and 221 percent at College E. While the endowment at College D showed an overall rate of growth, it actually declined in FY91 and had not yet recovered to its FY90 level as of FY94. According to those interviewed, this was due both to a poor investment strategy and an unusually high usage of earnings to offset budget deficits. Four of the five institutions were engaged in, or had recently completed, capital campaigns. College A exceeded its $50 million goal by raising $58.1 million. College B, its campaign still in progress, had raised $22 million toward a goal of $26.4 million. Similarly, College D had raised $43 million toward a $65 million goal with its campaign still in progress. College E completed a $65 million campaign by raising $72.9 million. College C had not been engaged in a campaign since the early 1980s. However, the growth in endowment

due to campaign gifts was varied, as indicated by various campus records and interview data. At both College B and E, a considerable portion of campaign funds were designated for capital projects. Conversely, the campaign at College A focused heavily on endowment. At College C, the growth in endowment principle was aided by a highly successful investment strategy.

Support from government sources, as a percent of E and G revenues, declined for four institutions. The proportion of income from federal and state governments fell from 16.5 to 11.1 percent at College A, from 12.3 to 7.3 percent at College B, from 16.8 to 13.3 percent at College C, and from 8.7 to 7.2 percent at College E. At College D, revenues from this source increased from 1.3 to 5 percent.

Gifts and grants from private sources, while increasing in actual dollars at four of the five institutions, also fell as a percent of total E and G revenues. The ratio fell from 11.3 to 8.2 percent at College A, from 5.3 to 5.1 at College B, from 12.1 to 6.2 at College C, from 36.2 to 23 at College D, and from 6.4 to 4.3 at College E. The 18.9 percent decline in gift revenue at College C was affected by an unusual one-year jump in income in FY85. Using FY86 data, rather than FY85, in comparison to FY94 showed a growth of 34.3 percent in gift revenues and a decrease from 7.4 to 6.2 percent as a source of E and G revenue. Similarly, a closer look at the data for College D also showed a disproportionately large amount of gift revenue in both FY85 and FY94, more than double that of any other year during a fifteen year period for which data were available. Using FY86 through FY93 figures, gift income increased a total of 26 percent and declined as a source of E and G revenue from 15.5 to 12 percent. While most of the college reported, through development office records and interview data, solid increases in their annual fund campaigns, the figures indicated this was not sufficient to keep pace with the growth of institutional budgets.

Expenditures. The rate of growth in E and G expenditures was similar to that of revenues at four of the institutions. IPEDS data showed that the overall growth in expenditures ranged from 65.2 to 142.6 percent, with notable differences in various budget categories as displayed in Table 2.

Table 2

Percent Increase in Expenditures from FY85 through FY94

	College				
	A	B	C	D	E
Total E and G	100.8	105.6	65.2	98.2	142.6
Financial Aid	165.0	160.0	138.4	178.6	195.2
Instruction	106.7	68.8	38.4	70.8	141.4
Academic Support	102.9	94.8	63.9	67.1	101.5
Plant Operations	61.1	99.5	37.5	99.4	108.6
Student Services	92.9	45.9	114.6	79.1	172.2
Institutional Support	52.3	171.7	52.3	51.6	78.9

Increases in financial aid expenditures were disproportionately high at all five institutions. By 1994, according to IPEDS data and confirmed by audited financial statements, financial aid constituted approximately 25 percent of the E and G budget for four of the five. As a percent of total E and G expenditures, financial aid rose from 19.8 to 26.1 at College A, from 19.3 to 24.4 at College B, from 11.4 to 16.5 at College C, from 16.7 to 23.5 at College D, and from 19.5 to 23.7 at College E.

In the area of instruction and academic support, allocations did not keep pace at most institutions in spite of growth in the size of their faculties, concerted efforts to increase salaries, and new library facilities at three of the colleges, as noted in individual case analyses. When comparing FY85 to FY94, IPEDS data showed that instructional costs, as a percent of the E and G budget, remained unchanged at 43 at College E and rose slightly at College A, from 30.7 to 31.6 percent. However, the ratio was not constant for all intervening years. The portion of the E and G budget allocated to instruction declined at the other three institutions: College B dropped from 37.4 to 30.7, College C from 34 to 28.5, and College D from 32.9 to 28.4 percent.

Other expenditure categories showed mixed results. Somewhat surprisingly perhaps, the rates of increase for plant operations were more modest than perceived by many of those interviewed, in spite of the considerable enhancements achieved at Colleges A, B, C, and E. The data also showed that the rate of growth in institutional support at four of the institutions was well below that of total E and G expenditures, suggesting administrative expenses did not grow as markedly as some proposed. Expanded admissions operations accounted for increases in student services at several of the institutions.

Four of the five institutions acquired considerably more debt, according to financial statements and interview data, most of which was used for improvements to the physical plant. College D was the one exception. Yet, the debt appeared to be well-financed and carefully monitored. Both the newly borrowed funds and new capital gifts enabled extensive new construction, numerous renovations, the purchase

of new properties, and the acquisition of new academic equipment, all of which enhanced the campuses and academic programs of these colleges.

On balance, the data showed that the financial condition of these institutions, according to objective measures, was not strengthened following strategic planning as intended. Although four institutions enjoyed considerable growth in their endowments, and four launched and achieved good success in capital fund drives, four of the five also assumed considerably more debt, all became increasingly dependent on tuition and fees as a source of revenue, auxiliary income did not grow as several anticipated, all experienced sharp increases in financial aid expenditures, and expenditures for instructional purposes as a percent of the E and G budget remained constant or declined. Yet interview data indicated that four of the five institutions believed themselves to be in better fiscal health than they were prior to strategic planning. Further, the evidence showed that financial management at four of the five institutions improved, most notably through better fiscal policies and cost controls at Colleges A, B, C, and E.

Enrollment

Changes in the enrollment condition of the five institutions collectively, for the purposes of cross-site analysis, were examined using the categories of size of the total student body and freshmen classes, academic ability, and diversity. Overall, the colleges in this study appear to have improved with regard to the size and academic profile of their respective student bodies. Efforts to achieve increased diversity were mixed. Selected data related to these comparisons are displayed in Table 3.

Table 3

Changes in Enrollment Patterns from FY85 through FY94

	College				
	A	B	C	D	E
Percent Change in Total Enrollment	12.0	-6.8	-11.5	1.7	47.5
Percent Change in Freshman Enrollment	24.4	-4.0	22.1	-15.0	15.6
Academic Profile					
SAT Scores	Y	Y	NA	N	Y
H.S. Grade Average	Y	Y	NA	N	Y
H.S. Rank in Class	NA	Y	NA	N	Y
Percent Minority Students					
FY85	2.5	3.0	30.0	25.0	15.0
FY94	4.5	5.0	46.5	48.0	9.0
Geographic Diversity	NC	NC	Y	N	Y

Y = Increase
N = Decrease
NC = No Change
NA = Comparable Data Not Available

IPEDS data showed that total enrollment grew at three of the five institutions over the ten year period from 1984-85 through Fall 1994, rising by 12 percent at College A, 1.7 percent at College D, and 47.5 percent at College E. Total enrollment declined by 6.8 percent at College B and 11.5 percent at College C. However, a closer look at the data revealed that only Colleges A and E had consistent patterns of growth. The total enrollment at College D rose up through 1989-90, by 7.5 percent, following which there was a fairly steady pattern of decline totalling 5.5 percent. While College C showed a net decline in total enrollment, the pattern was reversed in 1991-92 with figures showing an increase of 6.1 percent since 1991.

Freshman enrollment also increased at three of the five institutions during this period, rising 24.4 percent at College A, 22.1 percent at College C, and 15.6 percent at College E. These enrollments fell at College B and D, by 4 and 15 percent respectively. Qualitative data at each institution suggested the patterns of change in both total and freshman enrollments at Colleges A, C, D, and E corresponded to plan strategies which impacted enrollment trends.

Internal reports documenting SAT scores, high school grade point averages, and rank in class data indicated that the academic profile of entering students was strengthened at three of the five institutions between 1985 and 1994. Combined SAT scores for the middle 50 percent rose from 910-1190 to 950-1190 at College A, and for all students at College B and E from 1000 to 1016 and from 949 to 1047 respectively. Similarly, the average grade point of entering freshmen rose from 3.34 to 3.42 at College A, from 3.3 to 3.5 at College B, and from 3.1 to 3.51 at College E. At College D the combined SAT scores declined from 1220 to 1135, and those ranking in the top 10 percent of their high school graduating class declined from 25 to 19 percent. No similar data were available for College C; however, the institutional Self Study and interview data indicated there was a considerable reduction in the proportion of academically-disadvantaged students. Regarding student achievement, as demonstrated by honors received and the scope and quality of student research and publications, there was strong evidence that students at Colleges A and D excelled.

Internal reports and IPEDS data showed disappointing results with regard to changes in the ethnic composition of students at College A, B, or E, even though the strategic plans of each specified an intent to increase diversity. Although the percent of increase in the number of minority students at College A and B could be described as large, the proportion of students from ethnically diverse backgrounds, as compared to the total student population, remained quite small. College E became less ethnically diverse, but did broaden its geographic base considerably. Colleges C and D were, however, successful in achieving considerable change in the make-up of their student populations. At College C the number of minority students grew from 30 to 46.5 percent, and at College D that ratio rose from 25 to 48 percent.

At College A and E, the increases in enrollment and the academic qualifications of entering students were consistent with plan goals focused on excellence and growth. The decreases in these same measures at College D, while contrary to plan enrollment goals, were repeatedly cited by those interviewed as a consequence of the primary goal to create a multicultural community. The later growth in enrollment at College C, as well as a considerable increase in its resident student population, were consistent with its enrollment goals.

Academic Affairs

Comprehensive improvement in academic quality at the five sample institutions was difficult to standardize and quantify. Faculty and budgetary measures provided the easiest basis for cross-site comparisons, while curricular and programmatic changes were less analogous or easily summarized. Data are tabulated in Table 4, although many qualitative indices cannot be compared in this format. Support for the findings displayed in this table can be found in the individual case analyses.

The number of faculty rose at four of the five institutions, according to IPEDS data and internal reports, between 1985 and 1994. Colleges A, B, D, and E increased the size of their faculties by 15.3, 26.4, 25.2, and 42.6 percent respectively. The quality of the faculty was also reported to have increased at each of

these institutions, according to those interviewed, as defined by academic credentials, scholarly research and publications, and awards bestowed on faculty by outside organizations. There was further evidence to support this finding in various internal documents and college publications. The faculty decreased by 7.1 percent at College C between 1988 and 1994, but there were occasional references to an improvement in the quality of faculty hired during this period. There were also special increases in faculty salaries, in accordance with specified plan objectives, at Colleges A, B and C, as documented by financial records, internal documents, and interview data.

There was good evidence to document changes in the composition of the faculty at College A and D. Both substantially increased the number of female faculty members, by 60 and 45 percent respectively. As a percentage of the total faculty, the ratio of women rose from 21 to 31 percent at College A and from 32 to 42 percent at College D. College D also appreciably increased the number of minority faculty members, from 9 to 21 percent between 1988 and 1994. These changes in gender and ethnicity were in accordance with plan goals. College A was not successful, however, in increasing the diversity of its faculty, and there were no appreciable changes, either in gender or ethnicity, at College B, C, or E.

As reported earlier, the percent of increase in expenditures for instruction grew more slowly than the growth of the overall E and G budget at four of the five institutions, while increasing at a slightly more rapid rate at the fifth. Instructional expenditures as a percent of the E and G budget remained relatively constant at two institutions and fell appreciably at three. Allocations for instruction declined from 37.4 to 30.7 percent at College B, from 34 to 28.5 percent at College C, and from 41 to 35 percent at College D.

Improvement of the academic program, in some form, was identified as a strategic plan objective at all five institutions. It was, however, a higher priority and more explicitly defined at Colleges A, B, and D, all three of which achieved good results in this regard. Colleges C and E were not aggressive in this area and both showed evidence of only modest changes in academic programs.

Table 4

Changes in Academic Indices from FY85 through FY94

	College				
	A	B	C	D	E
Percent Change in Total Number of Faculty	15.3	26.4	-7.1	25.2	42.6
Percent Change in Number of Female Faculty	60.0	NC	NC	45.0	NA
Instructional Budget as Percent of Total E and G					
FY85	30.7	37.4	34.0	32.9	43.2
FY94	31.6	30.7	28.5	28.4	43.0
Academic Programs					
Curriculum Changed	Y	Y	N	Y	N
New Library	Y	Y	N	N	Y
Expanded Technology	Y	Y	N	Y	Y
New Equipment/Facilities	Y	Y	N	N	Y
Faculty Enhancements	Y	Y	N	Y	N

NC = No Change
NA = Comparable Data Not Available

Although objectives at the five institutions were not comparable, there were some parallels. The goal of academic excellence met with much success at College A through a vigorous agenda of academic program evaluation, curricular revisions, better credentialed faculty, updated academic equipment, and the expanded scholarly activity of its faculty and students. Similarly, College B recruited a better credentialed faculty and expanded professional development opportunities. In addition, the emphasis on a strengthened coordinate relationship with its brother institution resulted in a common mission, coordinated academic facilities, and a joint system of academic governance all of which served to provide a better and more integrated education. An area of weakness remained the lack of evaluation of academic programs. College D pursued excellence through the design and implementation of a core cultural studies program which further prompted a complete revision of the curriculum and pedagogical changes. Here, too, faculty credentials were improved.

Initiatives to improve the academic program went largely unaddressed at College C, although a serious evaluation of the academic enterprise was lately begun as other strategic initiatives were realized. At College E academic quality was addressed principally through the construction and renovation of facilities. Some attention was given to curricular revisions by three of the professional schools, but others added programs seemingly without a coherent plan. Undergraduate programs remained largely unexamined.

Thus, the results pertaining to academic affairs were mixed. Three of the five institutions made good progress toward their academic goals. Further, the size of faculty grew and compensation improved at the majority of the study sample. Yet, fiscal support did not expand to a greater extent than other budget categories. While the drop in the ratio of allocations for instructional purposes was lamented by many of the faculty interviewed, the overall shift in budgetary priorities was not totally inconsistent with key plan strategies. Each institution espoused a commitment to academic excellence and sought to improve the quality of its academic program, some

more forcefully than others, but four of the five placed a higher priority on the goals of enrollment, plant improvements, and/or increased diversity.

Physical Plant

All five institutions referenced campus development in their respective strategic plans with improvements in the physical plant becoming a driving initiative at three of the five. Each of these three, Colleges B, C, and E, emphasized plant expansion and renovation as a goal and each achieved significant change in this area. For each, the achievement of this objective supported other goals and also freed the college to embrace other priorities or emergent strategies.

College B undertook the construction of four new buildings--two dormitories, a science building, and a recreation center; a major renovation of the administrative building as well as numerous smaller projects; and extensive landscaping improvements. College C acquired new properties for athletic fields, student housing, admissions, and a combined president's quarters/public meeting space; built a new dormitory; renovated areas of the athletic and student centers; and undertook numerous projects to improve the landscaping and external appearance of the campus. College E constructed four new buildings, including a technologically innovative library; undertook major renovations to three existing facilities; acquired and renovated two new facilities--a conference center and student apartment complex; and made numerous changes and improvements to the grounds.

There were also modest improvements in the facilities at Colleges A and D. The plans for both colleges called for more changes than were realized, but the objectives were clearly less extensive, as compared to other plan objectives for each and as compared to the corresponding objectives for the other institutions. College A had undertaken and completed extensive improvements to its campus prior to the time frame of this study, including the construction of several new academic buildings and a library, thus precluding the need for considerable attention to this area. Nonetheless, the College acquired several small houses for use as student residences;

built a new field house and began construction of a new conference center; renovated a dormitory, theater, science laboratories, and a section of the student center; improved several athletic fields; and re-landscaped several areas of the campus.

College D also enjoyed a relatively comprehensive physical plant at the time it initiated strategic planning, thus obviating the need for attention to this area. Yet several areas were cited as needing improvement, most of which were as yet unaddressed. An existing campus facility was renovated for use as a student pavilion and funding for a new, comprehensive student center was nearly complete with construction to begin soon. Other objectives were not achieved.

Outcomes of Institutional Plans

A concise and simplistic comparison of the plans for the five institutions is complicated by the fact that three of the five developed one or more additional plans which either replaced or succeeded the original CAPHE-funded plan. It is also difficult to measure the success of the first plan in isolation from others. The majority of the strategies of the original plans were achieved at four of the five institutions, Colleges A, B, D, and E. At College C, little action was taken on the first plan, but the majority of the goals of the two subsequent plans were achieved. The subsequent plans at Colleges B and E were also largely successful.

Of the eight goals specified in the strategic plan of College A, remarkable progress was made in five. The academic program, the Christian tradition, faculty, enrollment, and continued campus development were all well-implemented as detailed in the case narrative. Although efforts to strengthen the financial condition met with mixed results, the college remained in a solid and stable position. The student life and community outreach objectives received little attention. With regard to the three major initiatives transcending these eight objectives, the Christian tradition and academic excellence were highly successful while efforts to achieve diversity were not. The overarching vision, liberal arts excellence in the Christian tradition, drove the institution in myriad ways and proved to be a very successful strategy.

All four categories of goals in the original plan met with strong success at College B. The liberal arts mission, the Catholic and Benedictine character, women's education, and management of the college were all strengthened substantially. Efforts to improve the physical plant, one of six objectives outlined in the second plan, were very successful and progress continued in the areas of student life, Benedictine life, and fiscal affairs. Enrollment initiatives were mixed and the focus on pluralism was not successful. The joint focus on identity and excellence, the two key elements of the third plan, were still being defined. Enhancement of the physical plant, the first dominant strategic initiative, proved highly successful. It, in turn, permitted the evolution and vigorous implementation of the second major strategic initiative, establishment of a strong coordinate relationship with the brother institution.

The original strategic plan of College C was not successful. Two of its five goals, enrollment and fiscal and physical resources, were eventually achieved but only following formulation and implementation of the second plan. Academic excellence, outcomes assessment, partnerships, and staffing goals were not accomplished as outlined. Four of five goals of the second plan were realized, some more fully than others. Enrollment was increased; financial planning implemented; academic planning initiated, faculty numbers reduced, and salaries increased; and student services expanded. Efforts to improve fund raising were not successful. Similarly, five of the six goals outlined in the third plan were also accomplished. Enrollment, student life, campus facilities, Jesuit identity, and financial management all improved; academic program enhancements were not yet implemented. Although not explicitly identified as such, enhancement of the physical plant served as the overarching strategic initiative which guided movement of the college in all other areas.

Significant change was achieved in four of the six core strategies outlined in the plan developed by College D, with modest results achieved in the remaining two. Considerable change occurred in the performing and visual arts program, core curriculum, multicultural community, and public and international affairs program. Efforts to strengthen the sciences were less extensive as were those to improve the

campus environment. In addition, seven of the nine operational strategies were well-implemented with the exception of enrollment and financial affairs. Realization of the multicultural agenda, which served as the overriding strategic initiative, was highly successful. The significant financial problems which ensued tended to diminish the effect of these results.

The initial plan of College E met with good results with four of the five strategies realized. Much progress was made in strengthening the humanistic, Catholic, and Jesuit character; maintaining traditional quality complimented by flexible options; maximizing location; and adopting a marketing orientation. Efforts to broaden the financial base were not successful, although the institution remained in good fiscal health. Four of the seven objectives of the subsequent plan were also largely realized, with considerable success in the area of enrollment and continued progress in the area of Jesuit identity, liberal arts balanced by an emphasis on professional education, and optimal use of location. Technology enhancements were mixed, and efforts in support of the holistic and community spirit objectives were minimal. The emphasis on growth, most conspicuous in the physical plant but also evident in academic programs and enrollment, and the focus on Jesuit identity guided much of the change which occurred at College D.

Summary

Over the long-term, the evidence demonstrated that changes occurred to strengthen enrollment, the comprehensive academic program, and physical plants at three of five institutions each. Financial condition was not measurably strengthened at any of the five colleges studied. The results of these findings are displayed in Table 5. Many of the goals and strategies of the original CAPHE-funded plans were realized, as intended, at four institutions. When all plans developed during the time frame of the study are included, all five institutions eventually achieved the majority of their goals. As presented in each case analysis and summarized above, the dominant strategies of each institution, whether explicit or implicit, were achieved.

Table 5

Summary of Overall Results Observed

	College				
	A	B	C	D	E
Financial Condition Strengthened	N	N	N	N	N
Enrollment Strengthened	Y	N	Y	N	Y
Academic Program Strengthened	Y	Y	N	Y	N
Physical Plant Expanded	N	Y	Y	N	Y
Majority of Original Strategic Plan Goals Achieved	Y	Y	N	Y	Y

Planning

The evidence collected provided an opportunity to examine the nature of planning at the sample institutions to include the initial planning process, subsequent planning activities and evaluation, and written plan documents. Although this was not a focus of the study, the findings in this area informed the results observed and provided a context which may, or may not, have influenced the changes which occurred at any or all of the colleges.

The Planning Process

The structure of the planning process, the number and kinds of individuals involved in decision-making, and a thorough assessment of the external environment coupled with that of internal conditions, all believed to affect the development and subsequent implementation of strategies according to the literature, varied at these institutions. A review of the processes used at the study sample, drawn from CAPHE documents and institutional planning records, was not always congruent with the perceptions of those interviewed. Nonetheless, there was sufficient data and consistency among sources of evidence to discern several trends.

Although stated in various ways, the purpose of strategic planning for three of the institutions was to establish institutional priorities in the context of external realities. At the fourth it was to establish a set of shared goals, and at the fifth it was to define an agenda for a new president. At the time planning was initiated, four of the institutions were in stable, healthy financial condition, as reported in grant materials and financial records. One institution faced serious budget constraints.

The initial process was highly-structured at two of the institutions, both of which involved a large number of participants. A total of twelve task forces reported to a central steering committee at College A, and nine such groups reported to a similar committee at College D. Two of the remaining three, whose processes were more informal, held off-campus retreats involving outside consultants and solicited input from various campus constituents.

Of five original CAPHE-funded projects, two were broadly participative, involving 125 and 175 individuals respectively. Constituents included faculty, staff, students, alumni, and private citizens. Three of the five, Colleges B, C, and E, conducted planning processes in which participation was largely limited to administrators. College B involved only senior staff, College C had a committee of five administrators and four faculty, and the committee at College D consisted of 20 vice presidents, deans, and other key staff. Each of these three undertook subsequent planning initiatives with some expansion in participants. At College B, the annual revisions to plan goals were made by senior staff, but the most recent planning endeavor was campus-wide and involved faculty, students, staff, and alumni organized around seven sub-committees. At College C the second planning activity was more narrow than the first, involving only five senior staff. The third plan was developed by a committee of 10 faculty and staff, but the most recent planning initiative was described as broadly inclusive and collaborative, as evidenced by the creation of 16 sub-committees. The second planning process at College E involved 45 individuals, and included faculty as well as staff. Of the two institutions which involved a large number and wide-range of constituents, Colleges A and D, neither engaged in subsequent strategic planning initiatives.

Although the evidence was insufficient to draw any meaningful findings, there was an indication that these colleges were in some way sensitive to their external environment, at least early in the planning cycle. Each institution, in its grant proposal, identified the changing environment and the challenges those conditions presented as a motivation for planning. Yet none appeared to conduct extensive or careful environmental scanning during the formal planning process which followed. All seemed aware of the demographic trends which impacted their enrollments, but the extent to which other environmental factors were considered was not evident. According to planning records and interview data, such efforts were minimal at best. The inclusion of enrollment objectives in all of the plans suggested each institution sought to be responsive to the changing demographics. Objectives relating to

community outreach, pluralism, and international programs also reflected recognition of the organizations' interface with their environments. The extent to which each intentionally used any assessment of environmental opportunities and threats to design its overall direction of movement was not apparent, with the exception of College D. Whether intentional or not, the coordinate and multicultural strategies of Colleges B and D reflected an effective interface between the activities of the institution and the demands of its surrounding environment.

In the context of this planning, four of the colleges appeared to evaluate their missions and the values which defined their institutions. This did not seem to happen at College C until a later planning cycle. The extent to which academic and non-academic programs and services were assessed, and strengths and weaknesses identified, was unclear. Those interviewed indicated that neither of the processes at Colleges D or E were guided by internal trend data, and that the amount and quality of this data remained poor at College D.

Ongoing Planning Initiatives and Evaluation

The concept of systematic, ongoing planning was evident in varying degrees at three of the five study institutions. At Colleges B, C, and E the CAPHE-funded planning project was followed by one or more strategic planning initiatives which resulted in new or revised plans. College C developed two subsequent strategic plans in 1990 and 1992, a facilities master plan in 1992, and undertook a comprehensive academic planning initiative in 1994. College E developed its second plan in 1992 plan and three of the professional schools developed their own strategic plans in 1993. There was no evidence to determine whether the latter were linked in any way to the university-wide plan. Interviewees also cited the development of annual working plans by the president's cabinet in recent years.

Strategic planning became most institutionalized at College B where it was an ongoing process resulting in a gradual, but continual, evolution in institutional priorities. Successive plan documents, annual lists of institutional goals, the

president's annual report to trustees all gave evidence that the 1987 plan was regularly revised, as previously identified goals were realized and new strategies emerged in response to changing circumstances. A new, major, institution-wide process was initiated in 1994.

At two of the five colleges strategic planning was thus far a one-time event. Further, there was no evidence that the vice presidents engaged in a practice of annual goal-setting. Yet one of these, College A, indicated an intent to re-initiate the strategic planning process in the near future, and College D had completed a facilities master plan.

Evaluation activities were minimal and were seldom used either to assess progress toward plan outcomes, to modify strategies in order to keep the plan viable given changing circumstances. None of the institutions involved original plan participants in a comprehensive, long-term review and assessment of progress toward stated plan objectives. Only one, College A, undertook any comprehensive evaluation of its strategic plan. This progress report, conducted by an undergraduate under the guidance of the president, did not involve administrative staff or faculty, and did not indicate a careful or consistent review of multiple sources of evidence to determine findings. Although most of the plans were largely successful, as shown in the case narratives and cross-site analysis, few of those interviewed were aware of the extent to which plan goals were realized.

Only one of the five institutions, College B, revisited its plan with regularity; the remaining four did not. There were, however, some attempts to look at the progress achieved. College A prepared a comprehensive progress report, which coincided with its decennial re-accreditation review, four years after the plan was formulated. Interview data indicated that the provost assessed various academic objectives on an annual basis, and informal discussions pertaining to plan goals were occasionally held at staff meetings.

Written records and interview data indicated that College B undertook a formal, regular review and evaluation of its strategic plan which resulted in periodic

revisions. The president's annual report to trustees gave a detailed account of actions taken in support of the plan. In addition, the vice presidents were asked to conduct annual evaluations of their respective areas which were submitted to the president.

There appeared to be little meaningful evaluation of the plans at College C. Both the 1988 and 1992 plans explicitly stated that they would be updated annually. There was evidence of a progress report in 1989 and an updated plan of action in 1990, but these did not measure progress toward plan goals. Nor was any formal review process according to those interviewed. Interview data did indicate that various aspects of the second plan were periodically discussed among the president's cabinet.

There was no evidence of any review or evaluation of progress toward plan goals at College D, even though a committee had been established for this purpose. Further, there was no evidence of any formal or informal annual evaluation by the vice presidents of the programs in their areas nor did the president prepare any sort of an annual report. Interview data indicated little attention was given to assessment of college operations and that the institution lacked the data and reporting mechanisms with which to monitor internal activities.

The 1987 plan at College E called for the ongoing review and measurement of progress. One interviewee reported the plan was updated for several years thereafter, others indicated the plan was not systematically reviewed or revised. The 1992 plan was followed by a written progress report a year later, and those interviewed indicated that the vice presidents underwent an annual process of evaluation which included reports submitted to the president. There was also a discussion on progress toward the goals of the 1992 plan at a recent retreat of the president's cabinet.

Character of Plans

The form and content of plan documents and the strategies themselves were reviewed to better understand the extent to which planning established explicit,

measurable goals, whether or not these plans were strategic in nature, and if strategies emerged which contributed to the observed results.

All five institutions developed formal plan documents, some more extensive and thorough than others. Four included detailed action plans which might be considered characteristic of operating plans. The language used to describe the changes intended by the various lists of goals or strategies consisted of terms such as "enhance, improve, maintain, strengthen, offer, encourage, and increase," usually with little further explication as to what these terms meant. Only one, College E, consistently incorporated measurable criteria, timetables, and staff assignments for specific action plans. None included measures or provisions by which the institution could gauge whether or not it changed in the ways intended, if it more effectively served its constituents, or if it had gained a comparative advantage.

The 1989 plan of College A was a lengthy, detailed document which provided a formal, rational presentation of goals and clearly articulated three overarching themes, or priorities, which were intended to guide change. In addition to a thorough outline of the eight core strategies and relevant sub-strategies, the plan also contained an extensive series of specific action steps for each. The document did not contain quantifiable goals or benchmarks against which to judge progress, timetables, or assignments of responsibility.

At College B, the 1987 document clearly delineated three broad goals and outlined a set of action steps for each. Additionally, it included a section focused on several college management functions. The document did not contain specific measures or time frames. The many subsequent annual plans were brief documents summarizing institutional goals with little elaboration.

The 1988 plan document developed by College C thoroughly presented a set of strategic initiatives, six institutional goals, and a detailed plan of action. The various sections, however, were disjointed and lacked coherence. The document contained no timetables or quantified objectives, except for enrollment. The 1990 plan was a short, informal document described by one interviewee as "a set of concrete action

steps designed to address specific problems." Although it contained little specificity, the objectives were organized by functional area. The format of the 1992 plan was similar to that of the first one but it, too, lacked coherence. A detailed list of activities was presented but without clear priorities, specific measures, or timetables.

At College D the 1990 strategic plan, published as a monograph, clearly and explicitly outlined six core strategies and nine operating strategies as well as vehicles for the ongoing management and financial support of the plan. Although the document was comprehensive in scope, the overarching priority was clear. The plan offered detailed sets of action steps to include some specific criteria and time frames.

The 1987 plan at College E was a thorough document containing a presentation of five strategies followed by detailed management plans for the various functional areas. The latter included specific action steps, timetables, fiscal needs, and staff assignments. The 1992 plan was less formal in style and less specific with regard to the extent to which its seven strategies were explicated. Goals were not quantified and there were no timetables or staff assignments.

Using the criteria of internally and externally responsive with a focus on developing comparative advantage, the initial plans developed by these institutions were not strategic. Nor could the planning processes be defined as strategic, although each contained elements identified in the literature as characteristic of strategic planning. Yet the initial plans should not be evaluated in isolation from subsequent initiatives and goals.

Looked at in the aggregate, the planning processes and change initiatives became strategic over time. All five institutions developed formal plan documents which outlined a set of institution-wide strategies or goals. All of the initial plans were proactive and future-oriented. Only College C developed a plan, its second, which was clearly reactive to a crisis situation. All were reportedly developed in consideration of external realities and challenges, although the extent of such analysis varied by institution. Only two of the five processes, at Colleges A and D, were broadly inclusive. Planning at the other three institutions eventually grew more

inclusive, with Colleges B and C becoming so only in their most recent and as yet unfinished initiatives. Planning initiatives became continuous and ongoing at three of the institutions.

The cumulative evidence for each institution suggested that four were guided by a dominant change strategy--that which defined the direction of movement and gave the organization comparative advantage. It was liberal arts excellence in the Christian tradition at College A, the coordinate relationship at College B, multiculturalism at College D, and growth at College E. These "umbrella" strategies were not usually explicitly defined as such by the institution. The emphasis on campus development at Colleges B, C, and E may, or may not, have been considered strategic. This emphasis, however, not only transformed the physical plants of these institutions but stimulated other major changes as well.

Some of the strategies which contributed to the observed results were emergent in nature. At three institutions there was good evidence to suggest the dominant strategy existed prior to formulation of the formal plan document in which it was expressed as a major goal: a strengthened coordinate relationship at College B, multiculturalism at College D, and growth in enrollment and the physical plant at College E. The emergent strategies at Colleges B and D were articulated in subsequent plan documents, the growth strategy at College E was, as such, not explicitly defined.

Factors Influencing Observed Results

The realization of strategic plan goals is reportedly influenced by numerous factors. Among those cited as important by the literature are leadership and the link between planning and budgeting. In addition, it is held that successful implementation of a plan is dependent on the development of operating plans and ownership among college constituents. Although the study did not set out to investigate these issues, evidence was collected which provided a better understanding of the outcomes observed.

Nature of Leadership

The study did not formally examine the nature and role of leadership, but sufficient evidence was discovered to suggest that leadership was an important factor in the implementation of strategic plan goals. Presidential leadership appeared vital, but the commitment of other senior officers was also observed to be important.

Of the original CAPHE-funded projects, three of the presidents were found to be very committed to and involved in the planning process, as determined through interviews and documented in the case narratives. The strategic plans formulated at Colleges A, B, and D were wholly endorsed by and/or represented the presidents' vision for the future of their institution. The plans at these colleges were largely implemented. The president at College C, under whom the first plan was developed, was not involved in, or supportive of, planning according to those interviewed. In the absence of presidential involvement, no other leader emerged. This plan was not successfully implemented. The second plan was the result of a process initiated and led by the new president; it produced favorable results. The president at College E was described as not being deeply committed to planning, and no other leader emerged to manage implementation of the first plan. A second plan was initiated and managed by the academic vice president. Collectively, most of the plan goals were achieved. Following creation of the second plan the president was reported as being more supportive, although not directly involved.

Leadership, as demonstrated by other senior officers, was also found to contribute to plan outcomes. The chief academic officers played a significant role at Colleges A and E, the collective vice presidents were important to the success of plans at Colleges B and C, and had a negative impact at College D. Interview data was the primary source of evidence, supported by various written records.

The provost at College A was viewed as a strong advocate of planning and demonstrated vigorous ongoing efforts to implement plan objectives. The academic vice president at College E not only initiated the second round of planning but also regularly monitored progress and reportedly kept senior staff focused on plan goals.

At College B all the vice presidents expressed a commitment to planning and consistently worked to implement plan objectives. After the transition in presidents at College C, a new set of senior officers worked diligently to help implement the goals of the second plan, and the academic vice president designed and led efforts to develop the emerging academic plan. The vice presidents at College D displayed a lack of commitment to planning and felt no accountability for plan goals. The chief academic officer was credited with managing the revision of the core curriculum and actively participated in efforts to diversify the faculty, but demonstrated no responsibility for other academically-related plan goals.

Planning and Budgeting

An effective link between the strategic planning and budgeting processes was not achieved at any institution; and most planning initiatives were principally funded through the acquisition of new resources, either in the form of gifts and grants or increased tuition revenues, as opposed to any significant reallocation of existing resources. There was no evidence to indicate that any institution prepared a financial plan to coincide with its strategic plan.

In their original plan documents, Colleges C, D, and E explicitly stated their intent to create such a linkage, a commitment cited again in the second plan at College E. At Colleges C and E the strategic plan would guide resource allocations, and College D sought to create a venture capital fund to fund plan initiatives. Financial records and interview data showed efforts were ineffective. No attempt was made at Colleges C and E to use the plan to guide budget decisions. While College D initially established a special fund as intended, it lasted only one year. Although not expressed in its plan document, College B also tried to integrate the budgeting and planning processes, with little success. Following creation of its second plan, College C consciously used its financial resources to fund its plant and enrollment objectives. The annual budget was not, however, routinely developed in accordance with plan

objectives. According to interview data, the budget was not viewed as a tool for implementation at College D and any significant reallocation of resources was not considered a viable option at Colleges E. College B recognized that the budget could be used in this manner but felt it had little maneuverability.

Although plan strategies did not drive or overtly influence development of the budget or budgeting processes at any institution, some budgets did reflect shifts or increases in allocations in accordance with plan priorities. As shown in the case narratives, the acquisition and/or allocation of resources in support of plan strategies was evident and not always monetary. New resources, principally acquired through capital campaigns, were used to fund major new initiatives. Increased tuition revenues were often used to fund burgeoning financial aid programs. Yet, as noted by interviewees at several colleges, some objectives were not heavily resource dependent. College A raised funds to support its Christian tradition and academic excellence strategies while also raising monies for endowed scholarships. College B acquired new resources to improve its physical plant and shifted resources, changed policies, and made joint appointments to strengthen its coordinate relationship. College C acquired and shifted resources to improve its plant, expand recruitment efforts, and increase financial aid to spur enrollment. College D used new monies to establish its public policy institute while curricular revisions and the numerous changes in support of multiculturalism did not require significant revenues. College E raised funds to expand its plant and increase scholarships; shifted resources to support its admissions, financial aid, and technology objectives; and used its hiring policies to strengthen its Jesuit identity.

Implementation

Four of the CAPHE-funded strategic plans included a series of detailed action steps which resembled operating plans. These action plans provided specific ways in which core strategies could be implemented. Although the plan at College B was not as extensive, it did offer sufficient detail to guide staff implementation.

Nearly all of those interviewed reported they seldom, if ever, referred to plan documents. Nor did the various vice presidents indicate they consciously developed annual operating plans based on their respective strategic plans, with the exception of the provost at College A and the collective vice presidents at College B. Specific parameters for change, program review, timetables, costs, and staff assignments were evident only at College E. As mentioned earlier, none of the institutions developed a comprehensive financial plan to guide budget decisions, but four of the colleges used capital campaigns to help achieve plan goals.

The extent to which strategic plans were operationalized through written operating plans, and conscious decision-making, appeared limited. Findings were based principally on interview data supported in some cases by written records. The vice presidents at College A assumed responsibility for executing plan recommendations. The provost, particularly, continued to develop annual priorities based on the original plan document. At College B the plan informed the development of each vice president's annual objectives because the president reportedly kept plan goals in front of them. The president formally held staff accountable and reviewed performance using these individual operating plans. There was no evidence of annual operating plans in support of either the first or third plans at College C. The plant expansion portion of the second plan was personally operationalized by the president and the vice presidents developed plans to implement other aspects of the plan. The plan at College D contained a detailed set of operating strategies but the vice presidents indicated little, if any, responsibility to see that these were implemented. Further, there was no evidence of annual goal setting of any kind. The planning council and venture capital fund, designed to aid implementation, were not effective as noted previously. The plan at College E also included a detailed management plan, one that was actually developed by the respective vice presidents. The extent to which these management plans guided subsequent activities was not clear. Those interviewed reported a process of annual goal-setting which appeared to evolve in the years following creation of the second strategic plan.

In spite of these inconsistencies, the observed results suggested that the overarching strategic initiatives at each institution were reflected in cumulative actions taken by many faculty and staff.

Theorists contend that broad participation in the planning process leads to the creation of a shared vision which allows for better implementation of the plan. The findings in this regard were mixed. Planning records and interview data provided much of the information regarding the scope and level of participation in the various planning processes. Interview data, departmental goals, and observed outcomes were used to assess the level of ownership among various institutional stakeholders.

As reported earlier, the original planning initiative was broadly inclusive at only two of the five institutions, Colleges A and D. At College A parts of the vision were shared, but unequally embraced by faculty interviewed. Faculty participation in the intentional implementation of plan objectives appeared limited. The multicultural agenda was a vision clearly shared by those at College D. Large numbers of faculty not only participated in formulating the strategic plan, but were involved in its implementation, most notably through curricular revisions and hiring practices. The plans of both institutions were largely successful.

At three institutions there was little involvement in the original planning process beyond that of senior administrative staff. At two of these, Colleges C and E, there was little recollection as to the focus or content of these plans and no sense of ownership was discerned among faculty or staff. The second plan developed at College C, involving only five senior staff, was well-understood and accepted, although not embraced by the faculty. Implementation of the plan did not require faculty involvement; it was largely successful. The second plan developed by College E, a process more widely inclusive of all stakeholders including faculty, was not widely owned beyond the senior staff although preservation of the Jesuit character as a specific goal was shared by many. The outcomes of this plan were mixed.

Although ongoing planning as well as the initial planning process at College B were limited to administrative staff, goals relating to Benedictine character and

women's education were fully embraced by faculty and staff alike, and a strengthened coordinate relationship was a vision shared by all.

Thus, the strategic plans appeared broadly shared at two institutions, Colleges B and D. At College D there was extensive participation in planning process, at College B there was not. At both institutions the dominant strategy emerged having already manifested itself in numerous ways throughout the faculty.

CHAPTER VI
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

This study was designed to determine what institutional changes occurred over the long-term, and to assess the relationship of these changes to formulated goals and strategies. Further, the study sought to determine if there were outcomes of emergent strategies which contributed to the overall results. Additionally, the study established a methodological framework for measuring results of the planning effort. The findings also contribute to the discussion about the influence of key factors, as identified in the literature, on plan outcomes.

Case study methodology was used to collect data and answer the research questions. A purposive sample of five institutions was drawn from a population of thirty-two private institutions awarded CAPHE planning grants. Evidence was gathered using survey data, document analysis, and semi-structured interviews. The data were analyzed using basic statistical procedures and qualitative methods.

Summary of Findings

The findings of this study provided considerable evidence to determine the long-term outcomes of strategic planning initiatives and the factors which may affect those outcomes. The evidence demonstrated that, over the long-term, changes occurred to strengthen these institutions in enrollment and in programmatic areas as identified in the formal strategic plan of each institution; and that the majority of the formulated goals and strategies outlined in the original CAPHE-funded plans were realized, as intended. The financial condition of the five study institutions was not strengthened following strategic planning.

The summative results for specific indices support these general findings. In the area of enrollment, four colleges improved the academic profile of their respective student bodies, three expanded their enrollments, while efforts to achieve increased diversity were mixed. Results in the academic arena were more varied. Three

institutions made good progress toward their academic goals, four colleges improved the size and compensation of faculty, but budget allocations for instruction and academic support at four of the institutions did not increase proportionate to the overall growth in their total Education and General expenditures. Financially, all five institutions depended far more heavily on tuition as a source of revenue, all five dramatically increased their expenditures for financial aid, and four acquired considerably more debt while four of the five also successfully undertook major capital campaigns. Substantial enhancements were made in the physical plants of three of the five campuses, in accordance with plan goals, with the other two already having done so prior to strategic planning. Four institutions were guided by a dominant change strategy which contributed to changes in multiple areas.

There was strong evidence to demonstrate that there was a relationship between the outcomes observed and the formulated goals and strategies. The institutions examined achieved many of the strategies, or goals, outlined in their respective strategic plans. Overall, the majority of the goals of all combined plans were achieved at all institutions, with most of the CAPHE-funded plan goals achieved at four institutions. Although plan goals were largely achieved, most institutional stakeholders were unaware of the success of the plans or the extent to which specific plan strategies were realized.

There was evidence of emergent strategies which contributed to the overall results observed. These emergent strategies were, in some cases, later expressed as deliberate strategies in subsequent strategic plans. The outcomes of emergent strategies, when combined with those of the deliberate strategies outlined in the original strategic plan, accounted for the dominant strategies guiding each institution, all of which were achieved.

The evidence suggested that leadership was an important factor contributing to the results observed, but the influence of participation and resources on planning outcomes appeared to vary. The level of presidential commitment and involvement differed by institution, both in the development of the strategic plan and in efforts to

guide the implementation of those plans. There was a relationship between the president's commitment to planning and plan goals and the extent to which strategies were realized, with a higher level of commitment appearing to contribute to a higher level of goal achievement. No particular style of leadership was identified as more successful. The commitment to planning among other institutional leaders also varied by institution. Here, too, there appeared to be a positive relationship between the level of commitment and the success of planning outcomes.

The number and types of participants involved in the planning process varied among institutions, and there appeared to be no consistent relationship between the level of participation and the extent to which strategic priorities were realized. Plans involving numerous participants were not notably more successful than as those with limited participation. However, broader participation appeared important for goals focused on reshaping the academic program.

The linkage between strategic priorities and budgeting was weak. There was no evidence of financial plans prepared in support of plan priorities and budgeting processes did not explicitly consider plan priorities. Nor was there evidence of significant shifts in budget allocations to support plan goals, with the exception of budgetary increases for student recruitment. When major funding was required to realize plan objectives, most were funded through the acquisition of new resources--most notably corporate or foundation grants, capital campaign gifts, and increased tuition revenues.

Conclusions

The findings of this study provided good evidence that strategic planning contributed to institutional change, although not always in the ways intended. Based on the findings of this study, the following conclusions were formulated:

1. Strategic planning contributes to organizational changes leading to institutional success, as defined by multiple measures.
2. Strategic planning does not necessarily strengthen the financial position

of an institution or enable it to acquire the resources necessary to pursue fully its objectives, although it can serve as a vehicle for defining institutional fund raising priorities.

3. The dominant strategies which guide the direction of movement are not always explicitly codified.

4. The extent to which plan strategies are realized, and/or adjusted to position the institution more effectively in its environment, is strengthened when institutional decision-making continues to be informed by ongoing planning and implementation.

5. Presidential leadership is an important factor in the formulation and implementation of strategic initiatives, but no one style is more successful. The commitment and involvement of other top leaders, most especially the chief academic and financial officers, is also essential to implementation of plan strategies.

6. A broadly-inclusive planning process is not necessary to achieve strategic priorities. The level of participation does not seem to be a critical factor affecting plan outcomes. Institutions demonstrating low levels of involvement were as successful as those with extensive participation, but the nature of plan strategies may have a bearing on this.

7. The successful implementation of a strategic plan is not necessarily dependent on a formal link between budgeting and planning. The lack of adequate financial resources may impede the implementation of some plan goals, but not all plan goals are heavily resource-dependent. Nor are financial resources the only means by which goals are converted into actions. The extent to which plan goals become widely owned may, more importantly, subconsciously inform decision-making and thus contribute to gradual shifts in resource allocations.

Discussion

As institutions move from planning to reality, there is a discrepancy between what was intended and that which occurred. Baldridge and Deal (1983) asserted this is due to the effect of conflicting priorities among, or opposition by, institutional stakeholders. However, the findings of this study suggest, supporting the views of Cope (1985) and Moorish (1976), that such divergence is more likely due to the continuing adaptation of an institution to its changing circumstances, thus causing an adjustment in its goals, or to a long-standing culture which may override intended new directions.

Emergent strategies account for a portion of the change realized by an institution. Through its collective actions, each institution employed one or more key strategies which guided movement in a specific direction. The dominant strategy was not always identified through the use of the strategic planning process, although the planning process established concrete ways in which these strategies could be realized. Emergent strategies--those not deliberately set--were evident, reflecting a pattern of organizational behavior that responded to changing internal and external conditions. Thus, as Mintzberg suggested, strategic planning was not the only way in which strategies at these institutions were created (1994b).

The linkage of plan goals to the institutional budget, widely believed essential to successful implementation and deemed desirable, is not required. All five institutions failed to create an effective budget link, yet the majority of plan goals were achieved at each. It was through the acquisition of new resources that plant improvements were made, new equipment acquired, and technology enhanced. Nor do all resources need to be monetary. For the institutions in this study, the acquisition and allocation of resources encompassed human as well as fiscal capital. It was, in part, through the changing complexion of students and faculty, the revision of the curriculum, and changes in pedagogy that College D achieved multiculturalism. The initiative and efforts of faculty and staff at Colleges B and E facilitated results related to a strengthening of the liberal arts, religious values, and gender issues.

Additionally, several institutions benefitted from improved financial management. Thus, while resources may be necessary to convert goals to actions (Heydinger, 1980; Steeples, 1988), and may accelerate or enhance implementation, institutions need to think more broadly in this regard.

Leadership is vital to the success of strategic planning. As asserted by Millet (1980) and Lisensky (1988) among others, each of the presidents were instrumental, if not pivotal, in effecting the changes observed. However, the importance of leadership, both in formulation and implementation, is not limited to the president (Buller, 1987). As Keller (1983) and Mintzberg (1994b) suggested, the commitment and involvement of a group of top leaders contributed to the successful achievement of plan goals at these colleges. This was particularly evident in the area of academic affairs. The evidence also suggested that in the case of a substitute leader, positional authority is requisite.

Broad participation, deemed essential by many scholars, may be more important when strategies are integral to the mission of the organization and require broad ownership for effective implementation. Similar to the findings of Schmidtlein and Milton (1990), the evidence did show that successful implementation of academic goals occurred when there was faculty initiative and acceptance. However, extensive involvement by various stakeholders also serves to raise expectations that change will occur. When implementation is primarily executed by administrators, others may remain unaware of the extent to which change has occurred. Strategies focused on improvements in areas such as enrollment and physical plant can be formulated and successfully implemented without engaging a broad range of participants, as demonstrated at Colleges B, C, and E, supporting the belief of Morrison and Mecca (1989) that extensive participation is not necessarily integral to the success of a plan.

The findings of this study support the view, advanced by Simsek and Lewis (1994) among others, that small colleges are likely to achieve successful results through the use of strategic planning. There appeared to be strong consensus about the fundamental mission of the institution and its strengths and weaknesses. Emergent

strategies were acted on by a variety of constituent groups, bringing them to realization. It was also clear that this group of small colleges were highly sensitive to changing external conditions, which tended to evoke timely responses in planning and action. Yet, given their size, these institutions had little financial slack. As a whole, they were highly tuition-driven and became more so. Given the narrow range of revenue sources, any shift in revenue streams, such as the diminution of government support for financial aid, was not easily offset. The presidents of these institutions appeared to have broad authority to take decisive action and were generally well-supported faculty and staff.

A singleness of institutional purpose, broadly shared among all constituents, also appears to contribute to the ability of an institution to work collectively to implement strategic initiatives; a finding similarly reported by Jellema (1986). Four of the five institutions in the study sample had strong religious traditions while the fifth was unanimously committed to the ideal of multiculturalism. Further, the planning process at each of these institutions was cited as contributing to a greater clarity of mission. As suggested by Buller (1987), a well-articulated, broadly held mission may well serve as an essential foundation for successful strategic planning and eventual institutional success.

Characteristics unique to higher education can impede implementation. First, the nature of the academic enterprise may work against the realization of strategic objectives. Under a system of shared governance, faculty bear responsibility for academic programming and policies. Unless the formulation of strategic initiatives relevant to the academic program emanate from, or are endorsed broadly by faculty, implementation through academic programming and policies is unlikely, as evidenced in both the first and third plans at College C. Second, faculty expectations and rewards also constrain implementation. Such expectations are centered around the primacy of teaching and research, not around those activities which generally secure the financial well-being and comparative advantage of the institution. Unless tied to the reward system, implementation is compromised. A tendency toward continuous

examination, consultation, and collaboration may offset these constraints, permitting strategic planning to succeed in higher education.

The goals and character of strategic planning processes are also, in some ways, divergent from those of higher education. Strategic planning places an emphasis on achieving comparative advantage, thereby strengthening the financial health of the organization (Baldridge & Okimi, 1982; Chaffee, 1989), which did not occur at the institutions examined in this study. Such a focus ignores the intangible nature of academic goals, such as maintaining or achieving excellence, most of which were largely realized. Further, the disciplinary expertise required of faculty creates a tendency toward specialization and disciplinary loyalty which may be at odds with institution-wide goals. Yet, within the study sample, there appeared to be a high level of congruence between the goals of the formulated plans and institutional values, an outcome which may have occurred instinctively. The rationality of the planning process is also antithetical to the culture of the academic community. However, the structure of the processes used at these five institutions seemed to resemble, in most cases, the culture of the organization. Continuous planning, advocated by Cope (1985) and others, was evident at three of the five institutions, but its effect on the attainment of institutional success was unclear.

The ancillary benefits of planning accrue to both the individual and the institution. For the individual, it provides an opportunity to become better acquainted with colleagues outside one's discipline and deepen one's sense of satisfaction with the organization. For the institution, strategic planning serves not only to clarify the mission and better position the institution in the marketplace, but it provides an opportunity to deepen the commitment and investment of key stakeholders in the future of the organization. When the vision is broadly and deeply shared, decisions are regularly made in support of key plan strategies, thus moving the institution in its desired direction.

A grant from CAPHE served as an impetus to launch the strategic planning initiatives undertaken at most of these institutions, initiatives which were followed by

some kind of on-going planning activity, both at institutional and functional levels, at three of the five colleges. Regular and structured reporting, required throughout the life of the grant, may have contributed to the well-ordered processes observed at these institutions. However, with termination of the grant, monitoring and evaluation of progress toward plan goals largely ended.

Because discussion and communication of plan objectives tended to diminish over time so, too, did the institution-wide consciousness about plan achievements and/or subsequent adjustments in the strategies chosen. There was a lack of awareness on the part of nearly all constituents as to the extent to which plan goals were realized. This often resulted in a sense of frustration about the perceived lack of progress and a potentially diminished commitment to plan goals, as asserted by Corak and Wharton (1992). The investigation, by an outside evaluator, of strategic planning outcomes appears to stimulate institutions to begin a formal review of progress toward stated plan objectives and/or to re-initiate the strategic planning cycle, as demonstrated by Colleges D and A respectively.

A blend of qualitative and quantitative data provides the best means by which to assess the ways in which academic institutions change. Findings derived from interview data, while revealing, can mask, or contradict, results observed using more objective measures. The analysis of quantitative data provides important evidence about the status of the institution, particularly in regard to its enrollment and financial vitality. Yet these, too, do not always provide a complete picture of the extent to which goals are achieved. Either, alone, is insufficient as the sole measure of planning outcomes. Further, an examination of outcomes following an extended period of time provides an opportunity to assess more fully the progress made toward plan goals and the factors which most affect observed outcomes.

Overall, strategic planning contributes to changes leading to institutional success, with benefits beyond the extent to which plan goals are achieved. The embrace of coordination at College B and multiculturalism at College D represented true strategic initiatives, as defined by Mintzberg (1994), demonstrating an effective

nexus, or intersection, of the organization and its environment. The focus of College A on its Christian tradition represented a similar positioning. These institutions achieved a "comparative advantage" with regard to their mission, purpose, and programs.

There is, however, a danger in getting too enamored of planning. It is not a panacea for what ails an organization. Strategic planning, and the strategies which emerge from that process, are but a tool to anticipate the future intelligibly and adjust the institution accordingly. Contrary to the claims of most theorists, strategic planning did not enable these institutions to achieve a comparative advantage in ways that measurably improved their financial health, although some institutions benefitted from increased enrollments. The real value of strategic planning for higher education may not lie in any ability to strengthen an institution fiscally, but rather in its ability to enable colleges and universities to begin thinking and acting strategically. The residual effect, suggested by Chaffee (1985), is an increased sensitivity to the environment, an improved ability to develop more appropriate responses, and a greater willingness to define and act upon their priorities--all of which can move an institution toward a set of measurable objectives.

Recommendations for Further Research

Based on the findings of this investigation, the following recommendations for future research are offered:

1. Are the outcomes observed at small, private institutions having engaged in strategic planning consistent with those that have not, as measured by similar enrollment, financial, plant, and academic indices?
2. Are the outcomes observed at small, private institutions having engaged in strategic planning consistent with those observed in public, undergraduate institutions and large research universities having also engaged in strategic planning during a similar time frame?
3. Does the introduction of a strategic planning process alter the direction

of movement of an institution, or does it simply codify an already evolving direction, as measured by resource allocations and programmatic indices prior to and following the planning initiative?

4. How much do the outcomes of planning depend on a high level of leadership and involvement by the president and other senior officers?
5. Are planning and budgeting priorities linked at colleges which achieve institutional success? Determine (a) if there is evidence of a financial plan in support of specified strategic priorities, and (b) if there are significant changes in budget allocations as compared to strategic plan objectives.
6. How does the level and depth of participation in the planning process impact observed results? Assess the number and type of participants and the extent of the involvement of each.
7. Does a singleness of institutional focus, or purpose, contribute to plan outcomes?
8. Can benefits ancillary to specified planning outcomes be identified and measured?

Recommendations for Practice

The findings of this study also provide some implications for practitioners at colleges and universities. Several recommendations are offered in this regard.

Institutions should establish a financial plan which clearly reflects strategic priorities. Such a plan should consider both the acquisition of new resources as well as the reallocation of existing resources, to include personnel, finances, facilities, and equipment or technology. It also requires a recognition that flexibility does exist within the budgeting process. A separate planning process, focused solely on building the financial strength of the institution, may also be appropriate.

Effective planning requires both an initial and ongoing commitment and involvement by the president in order to press the planning process forward and to

guide the implementation of plan objectives.

Responsibility and authority for implementation of plan priorities should be clearly established, and those responsible should be held accountable with reward systems established accordingly.

Perceptions about the progress achieved can vary considerably from what is shown by objective measures. A periodic evaluation of the progress made toward specified plan objectives can broaden understanding and build consensus about the results achieved, identify positive outcomes of strategic planning, focus attention on those areas as yet not addressed, and/or identify the areas in which revisions are needed. Any assessment of strategic planning outcomes should include the use of quantitative as well as qualitative data.

The involvement of those originally involved in the planning initiative would serve to establish a sense of closure for participants, potentially increasing satisfaction with both the process and outcomes of planning.

Agencies which fund planning initiatives should consider initiatives which might benefit the institutions funded and the results achieved, to include: (a) a follow-up reporting mechanism, or site visit evaluation, two to three years following completion of the plan; and (b) seminars or workshops addressing financial planning as it relates to the implementation of strategic priorities.

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APPENDIX A

Letter of Invitation

CAPHE

CONSORTIUM FOR THE ADVANCEMENT OF PRIVATE HIGHER EDUCATION

CIC

THE COUNCIL OF INDEPENDENT COLLEGES

January 6, 1995

Dr. John Smith
President
College A
College Boulevard
Collegetown, USA

Dear President Smith,

In 1986, College A received a CAPHE grant for planning. Our records indicate that the project, directed the Mr. Smith, was of considerable value for College A and resulted in the formulation of a college-wide strategic plan.

Through our grant programs, CAPHE aims not only to strengthen individual colleges but also to benefit additional colleges by disseminating what has been learned by the colleges that receive grants. To accomplish this, we periodically conduct studies of the results of competed grant projects.

CAPHE is undertaking a research project designed to evaluate the longer-term results of institutional planning initiatives. I am writing to request your participation in this important project.

The study seeks to determine how and why institutions change, or are strengthened, in an appreciable way as a result of strategic planning; the extent to which planning outcomes relate to the original goals of the plan; and what factors influence the nature of the results of planning. Five comprehensive case studies of institutions that undertook strategic planning initiatives and concluded their CAPHE grants with specific strategies and action plans will be conducted.

The involvement of the colleges in the study would consist of telephone conversations, a site visit, and providing access to documents related to the planning process. Interviews with senior administrators will be part of this process. The identity of your institution would, of course, remain confidential throughout the study and in any published documents.

ONE DUPONT CIRCLE SUITE 320 WASHINGTON, DC 20036-1110 TEL 202-466-7230

Sandra Lovinguth is serving as a consultant to CAPHE for this study. In her former position of Dean of Admissions at Hollins College, she was a project director of a CAPHE planning grant project conducted from 1985 to 1987. She has also served as the Executive Director of Institutional Advancement at Hollins and Vice President at the Foundation for Independent Higher Education.

The results of the study will be available to CAPHE-funded institutions in the form of general lessons in strategic planning. They will be of particular interest to those institutions seeking to ensure long term outcomes of planning efforts.

I hope that College A will agree to participate in this study which we believe can be of considerable assistance to a larger number of colleges. We will be contacting your office soon to determine your interest in participating and to provide further details about the study.

I appreciate your consideration and look forward to speaking with you soon.

Very truly yours,

Mary-Mack Callahan
Managing Director

APPENDIX B

Letter of Confirmation

CAPHE

CONSORTIUM FOR THE ADVANCEMENT OF PRIVATE HIGHER EDUCATION

CIC

THE COUNCIL OF INDEPENDENT COLLEGES

January 26, 1995

Dr. John Smith
President
College A
College Boulevard
Collegetown, USA

Dear President Smith,

I am delighted that you have agreed to have College A participate in CAPHE's research project to evaluate the long-term results of institutional planning. We anticipate that the findings of this study will be of great value in furthering our knowledge about how CAPHE can best assist colleges with their needs and efforts in planning. College A's involvement will make an important contribution to the findings.

Sandra Lovinguth, the consultant to CAPHE for this planning study, will be contacting your office shortly. Ms. Lovinguth will provide you with further information about the study, as well as be seeking to identify an appropriate liaison at the College with whom she is to work, and to arrange a site visit.

Thank you, once again, for your interest and involvement in this important project. We look forward to your participation.

Sincerely,

Mary-Mack Callahan
Managing Director

ONE DUPONT CIRCLE SUITE 320 WASHINGTON, DC 20036-1110 TEL 202-466-7230

APPENDIX C

Campus Visit Protocol

Each of the five institutions chosen for the case study was first contacted by telephone to identify the campus liaison for the study and to establish a suitable date for the site visit. Written confirmation was sent, enclosed with which was a request for the types of documents and materials needed in support of the study. Visits were conducted over a period of four days. At each site the researcher was given an office or conference room in which to work.

Documents not already provided were obtained from the various offices. Those not available for removal from the campus were reviewed on-site. Observations were gathered through campus tours, meals in various dining halls, visits to the campus bookstore, a review of bulletin boards, and the use of facilities such as the library and computing centers. Impressions, reflections, and unusual circumstances occurring throughout the campus visits were recorded in a journal kept for that purpose.

SANDRA J. LOVINGUTH
2972 Rosalind Avenue S.W.
Roanoke, Virginia 24014
(703) 342-4149

February 9, 1995

Dr. John Smith
President
College A
College Boulevard
Collegetown, USA

Dear President Smith,

I am delighted College A has agreed to participate in the project to assess the long-term outcomes of strategic planning initiatives. The findings of this study should provide new insights about the impact strategic planning has on institutional success. A summary of the project is enclosed, and I would be happy to provide additional information should it be of interest.

This letter is to confirm my visit to College A for the week of Month and Dates. Attached is a list of those with whom I would like to meet and an outline of the materials I would like to review during the visit. If other members of your faculty or administration could add information about the development and results of the planning initiative, that would be helpful. I would also welcome a chance to tour the campus and meet with some students. The information obtained during the course of the study will, of course, remain confidential and the identity of each institution will remain anonymous in any published documents.

It was a pleasure talking with you briefly earlier this week. I look forward to visiting College A and to meeting with you and other members of the college community.

Sincerely,

Institutional Document Request List

Document/Materials	Fiscal Year	Office/Department
IPEDS Surveys	1984 - 1994	Institutional Research or Registrar
Institutional Budgets	1984 - 1994	Business Office
Institutional Audits	1984 - 1994	Business Office
Annual Reports	1984 - 1994	President's Office
Annual Gift Reports	1984 - 1994	Development Office
College Catalogs	1984 - 1994	Registrar or Library
Enrollment data	1984 - 1994	Admissions Office
Retention data	1984 - 1994	Institutional Research or Registrar
Admissions literature	current	Admissions Office
Fund raising literature	current	Development Office
Planning records/files	(committee lists, agendas, minutes, reports)	

Additional items of interest, if available:
Historical admissions, fund raising, public relations literature
Capital campaign/fund raising goals
Alumni survey results
Most recent self-study document
Annual reports to Board of Trustees for major functional areas

APPENDIX D

Interview Protocol

For each of the five institutions chosen for case study, semi-structured interviews were requested and conducted with key individuals. Each individual was contacted by a campus liaison, prior to the site visit, in order to schedule the date, time, and place of the interview. Prior to the interview, each individual was provided with information about the nature of the study and the focus of the interview.

The protocol was designed to obtain data for determining the context and nature of the planning effort, perceived outcomes, evolving strategies, and the relationship between planning objectives and outcomes as reported by institutional officers and stakeholders. The interview was conducted in the form of an informal dialogue between the informant and the researcher. Questions were largely open-ended to provide an opportunity for additional probing and follow-up.

Planning documents and institutional records were used to suggest specific questions for interviews. In addition to background data, information was sought to determine perceived objectives and outcomes of planning activities, factors influencing those outcomes, current status of the institution, and the extent of institutional change.

The researcher conducted all interviews. To insure more valid, reliable and confirming data, the researcher used a standardized interview format and record-keeping methods. The instrument used for recording interview notes consisted of a survey of standardized and open-ended questions. In addition to a set of core questions, asked of all informants, each was asked a set of supplemental questions

depending on his/her functional responsibility. A first draft of the survey was developed using reference materials and insights gained from other empirical studies. The instrument was then field-tested with two college administrators, at two different institutions, neither of which participated in the study.

Information gained throughout the campus visits was recorded using the written interview questionnaire, audio recordings, notes made upon the conclusion of each interview, and a journal in which the researcher recorded events, impressions, and reflections related to the study.

(Enclosure sent to campus liaison)

Recommended Campus Interviews

Name	President
Name	Provost/Academic VP
Name	VP for Finance
Name	VP for Institutional Advancement
Name	VP for Student Affairs
Name	VP for Enrollment Management/Dean of Admissions
Name	Assistant to President for Planning
Name	Faculty member who served on the planning committee
Name	Faculty member who served on the planning committee
Name	Faculty member who served on the planning committee

Additional possibilities might include:

Current elected Chair of the Faculty Senate
Director of Institutional Research
CAPHE Project Director, if not one of the above
Student(s)

INTERVIEW QUESTIONNAIRE

Name: _____

Current position: _____

The purpose of this study is to investigate the long-term outcomes of strategic planning activities at small, four-year colleges. Personal interviews are being conducted with campus administrators and faculty members in order to understand better the context and results of the planning initiative.

The interview is intended to be an informal dialogue about these issues and all information obtained during this interview will be confidential. With your permission, our conversation will be taped in order to make sure your responses have been accurately recorded. Do you willingly consent to participate in this interview as described?

The interview should take about an hour. Not all questions are relevant to everyone, so please don't feel you have to offer a response to every question.

BACKGROUND INFORMATION

Professional background:

Number of years at institution:

Position at the outset of planning:

Involvement in planning process:

___ Planning Committee member
___ Sub-committee/Task Force member
___ Staff support
___ Other

To what degree are you familiar with the plan?

Special Circumstances:

The first set of questions focus on the planning and implementation phases of the process and changes occurring at the institution over the last 5 - 8 years. The second set will relate to your particular area of responsibility.

CORE QUESTIONS

1. What was the primary purpose of the planning initiative?

   (How would you describe the financial and enrollment status of the college at the time planning was initiated? Critical condition or room to maneuver?)

2. How were the contents of the plan communicated to the college community?

3. In what way, and by whom, was the plan formally adopted?
   Faculty senate? Board of Trustees? Others?

4. What did the operating plan look like?
   How widely distributed?
   Were specific, measurable goals enunciated?
   Were target completion dates identified?

5. Describe the timetable for implementation:

6. Who was assigned overall responsibility to manage implementation of the plan?
   (If no one, who, if anyone, assumed this role?)

7. What was the "vision" which guided the plan's development?

8. What strategic initiatives were adopted as a result of the planning process?

   Were these modified during implementation?

9. Describe any new strategies that evolved later in the process.

10. What aspects of the plan have proved most beneficial?

11. From your perspective, overall did the plan achieve its intended goals? Why/why not?
    Query re. specific strategies.

12. What factors (positive/negative) contributed to the achievement of plan goals?
    External and internal.

13. In what way, if any, has the original plan been formally evaluated?

14. In what ways, if any, has the institution changed substantially over the past 5-8 years? Query re. specific strategies.

15. What factors contributed to these changes? (Did specified strategic activities account for any measured changes in the institution)?

16. How have resources changed over the past 5-8 years (income, students, faculty/up, down, different types)?

    How are these changes related to the plan's strategies?

17. How have resource allocations changed over the past 5-8 years? ($, staff, equipment)

    How are these related to the planning initiative?

18. How have staffing decisions changed over past 5-8 years. (#, type, qualifications)

    How are these linked to plan objectives?

19. Have new programs and activities been sustained (in terms of resources and institutional commitment)? Which ones? In which ways?

20. How would you assess the following areas of the college, using a scale of 1=weak; 5= strong, given three time frames (ten years ago; at the time of planning; now):

    Fiscal vitality
    Enrollment
    Academic Programs
    Student Services

21. Describe any on-going planning activities in place at the institution.

22. Does planning have ancillary benefits in addition to its stated purpose(s)? What are they?

FUNCTION SPECIFIC QUESTIONS: ACADEMIC AFFAIRS/FACULTY

This last set of questions focus specifically on academic affairs.

1. What major curricular/programmatic changes have been made over the past 5-8 years.

   Would you describe these changes as incremental or dramatic? Why?

   How were decisions made?

   How did this approach affect the level of plan adoption by faculty?

2. In what ways, if any, were these changes linked to the strategic plan?

3. What are the college's current academic priorities?

4. What, if any, academic staffing decisions were made in response to plan strategies?

5. How have academic resource allocations changed in response to plan strategies?

   Program support:
   #/type of faculty:
   Library:
   Equipment/facilities:

6. What factors contributed to these changes? (Was budgeting tied to planning objectives? How broadly?)

7. In the academic program area, did the plan achieve its intended goals? Why/why not?

   Query re. specific strategies:

8. In what ways was the plan modified? Why?

9. How did you (the academic VP) operationalize the plan?

   Who was responsible for which elements?

   What was the extent of implementation?

10. Who is involved in the preparation of the academic portion of the budget?

    What is the level of their involvement?

    Who has final budgetary authority (over academic programs)?

    How much control does the VPAA have over the budget?

11. What have been faculty members' sentiments toward the adopted strategic plan?
    (1) enthusiastic acceptance and ownership (3) passive resistance
    (2) passive acceptance (4) outright resistance

    In your opinion, what are the reasons for this reaction?

    What is the basis for your opinion?

    How do you think their reaction has affected the plan's outcomes?

12. How would you describe the President's leadership and commitment to planning?

13. How would you describe the chief financial officer's commitment to the plan's objectives? During planning and implementation.

FUNCTION SPECIFIC QUESTIONS: BUSINESS & FINANCE

This last set of questions focus on financial operations.

1. Over the past 5-8 years, what significant changes have occurred in the institution's financial condition?

2. More specifically, what significant changes occurred in revenues?

3. What factors affected these changes in revenues?

4. What significant changes occurred in expenditures/allocations?

5. What factors affected these changes? (internal/external)

6. What significant reallocations have occurred in the budget and why? Influenced by strategic plan?

   Academic departments

   Administrative departments

   Staffing levels/qualifications/composition

   Salaries/benefits

   Capital expenditures
   - deferred maintenance
   - new facilities
   - equipment
   - technology/communications

7. What, if any, changes occurred in fiscal policies? (e.g. endowment spending, investment philosophy, financial aid) Related to fiscal condition or institutional changes? Who initiated? Related to plan?

8. In the financial area (fiscal health of institution), did the plan achieve its intended goals? Why or why not?

9. How did you/your staff operationalize the plan?

10. Tell me about the decision-making aspects of the budgeting process.

    Who is involved in the preparation of the budget?

    In what ways are faculty involved?

    What is the level of involvement of various others?

    Who has the final authority? (over allocations in different functional areas)

11. How would you describe the President's leadership and commitment to planning?

12. How would you describe the chief academic officer's commitment to the plan's objectives?

FUNCTION SPECIFIC QUESTIONS: ENROLLMENT

This last set of questions focus on enrollment issues.

1. With regard to the student body, what significant changes have occurred over the past 5-8 years?

   # new/retained students:
   Academic ability:
   Composition of student body:
   Financial need:

2. What factors contributed to these changes? (Were they linked specified plan strategies?)

3. With regard to the admissions "operation", what significant changes have occurred over the past 5-8 years in the following areas?

   Size/composition of staff:
   Budget:
   Messages:
   Promotional strategies:

4. How would you compare/contrast the changes in your enrollment with those of your peer institutions or others in this region?

5. In the enrollment area, did the plan achieve its intended goals? Why or why not? Is the enrollment picture stable/healthy?
   Query re. specific strategies (Admissions, Financial Aid, Retention)

   In what ways, if any, was the plan modified?

6. In what ways, if any, has the strategic plan changed your marketing, recruitment, and admissions policies and practices?

7. Describe how these changes were accomplished. (How did you/your staff operationalize the plan.)

8. Who is involved in setting admissions policy? Recruitment strategies? Financial aid policy?

   What is the level of their involvement?

9. To what extent are institutional messages coordinated to reflect a single theme or image? (e.g. for admissions, development, faculty recruitment, and community outreach)

10. Does the image presented reflect the vision and priorities of the strategic plan? (If not, why not?)

11. To what extent do faculty, students, and alumni embrace, and communicate, this "party line"?

12. How would you describe the President's leadership and commitment to planning?

    Chief academic officer?

    Chief financial officer?

FUNCTION SPECIFIC QUESTIONS: INSTITUTIONAL ADVANCEMENT

This last set of questions focus on fund raising and external affairs.

1. Over the past 5-8 years, what significant changes, if any, have occurred in the dollars raised by the institution? (amount, type)

2. What factors contributed to these changes?

3. Over the past 5-8 years, what significant changes have occurred in the type and number of outreach activities?

4. What factors contributed to these changes?

5. Over the past 5-8 years, what significant changes have occurred in the content and style of external communications?

6. What factors contributed to these changes?

7. What, if any, changes have occurred in fiscal policies affecting resources? (e.g. endowment spending, investments) Who initiated? Why?

8. With regard to the development and PR "operations", what significant changes have occurred over the past 5-8 years in the following areas?

   Size/composition of staff
   Budget
   Activities

9. In what ways have changes in the above-cited areas been linked to the strategic plan?

10. How did you/your staff operationalize the strategic plan?

    Who was responsible for what elements?

    What was the level of implementation?

11. Who was involved in the development of fund raising priorities? (faculty, alumni, parents)

    What has been the level of their involvement?

12. To what extent are institutional messages coordinated to reflect a single theme or image? (e.g. for admissions, development, faculty recruitment, and community outreach)

13. Who is involved in developing the content of these messages?

14. Does the image presented reflect the vision and priorities of the strategic plan? (If not, why not?)

15. To what extent do faculty, students, and alumni embrace, and communicate, this "party line"?

16. To what extent do faculty, other administrators, alumni, and parents participate in fund raising and external outreach activities?

17. In development, alumni relations, and external affairs, did the plan achieve its intended strategies? Why or why not?

18. In what ways, if any, was the plan modified?

19. How would you describe the President's leadership and commitment to planning?

    Chief academic officer?

    Chief financial officer?

FUNCTION SPECIFIC QUESTIONS: STUDENT AFFAIRS

This last set of questions focus on your specific area of responsibility.

1. With regard to the student body, what significant changes have occurred over the past 5-8 years?

2. What factors have contributed to these changes?

3. What major programmatic and policy changes have been made in student affairs over the past 5-8 years? Query re. specific strategies.

4. What factors contributed to these changes? (Are they linked to plan strategies? Or to changes occurring in student body irrespective of plan?)

5. Over the past 5-8 years, how have student services resource allocations changed?

   Budget:
   Size/composition of staff:
   Co-curricular programs:
   Equipment/facilities:

6. In what ways has the strategic plan influenced these allocations?

7. In student services, did/is the plan achieving its intended goals? Why or why not? Query re. specific strategies.

8. In what ways was the plan modified? Why?

9. How have any changes in the student body affected the plan's overall objectives?

10. How did you/your staff operationalize the plan?

    Who was responsible for what elements?

    What was the extent of implementation?

11. In what ways were students involved?

12. What have been the students' sentiments toward the adopted strategic plan?

In your opinion, what are the reasons for this reaction?

How do you think their reaction has affected the plan's outcome?

13. How would you describe the President's leadership and commitment to planning?

Chief academic officer?

Chief financial officer?

FUNCTION SPECIFIC QUESTIONS: PLANNING/INSTITUTIONAL RESEARCH

1. How was the planning project organized and directed?

2. Describe how the plan evolved.

3. Did the plan reflect the internal and external realities facing the institution? Why or why not?

4. Would you describe planning as proactive or reactive?

5. How much of the plan was based on documented evidence or data collected in a rational way? (vs. assumptions and general brainstorming)

6. Was concern about institutional effectiveness expressed during the planning process? Did strategic decisions focus on increasing effectiveness or efficiency?

7. How important has the budgeting function been to the success/outcomes of the strategic plan? How were the strategic plan and budgeting decisions linked? Did/does the institutional budget reflect key strategic initiatives?

8. Was the nature of the plan conservative or bold, given the institution's culture?

9. In what ways, if any, has the plan been modified or evolved over time?

10. How would you describe the President's leadership and commitment to planning?

11. How would you describe the chief academic officer's commitment to the plan's objectives?

12. How would you describe the chief financial officer's commitment to the plan's objectives?

13. How would you describe the level of interest and commitment of others within the institution to the plan's objectives?

ADDITIONAL QUESTIONS FOR NEW ADMINISTRATORS

1. Being new to the college since the plan was developed, how were you apprised of the plan goals and strategies?

2. How would you assess the plan?

3. To what extent did/do you support the plan objectives and strategies?

4. In what ways did you modify strategies relevant to your area of responsibility?

5. In your opinion, is there long-term institutional ownership of the plan that transfers to new leaders/administrators/faculty?

PRESIDENT'S QUESTIONNAIRE

1. How would you describe the culture of this institution?

2. At the time planning was begun, what were the most critical issues facing the institution?

3. How would you describe the attitude of institutional stakeholders? Faculty, staff, students, alumni, board members.

4. What are the most critical issues facing the institution today?

5. What was the primary purpose of the planning initiative?

   (How would you describe the financial and enrollment status of the college at the time planning was initiated? Critical condition or room to maneuver?)

6. What was the "vision" which guided the plan's development?

7. From your perspective, overall has the plan achieved its intended goals? Why/why not?

8. In what ways has the institution changed substantially over the past 5-8 years?
   Resources
   Expenditures
   Program mix (academic/student services)
   Staffing

9. What factors have contributed to these changes? (Did specified strategies account for any measured changes in the institution?)

10. How have program budget allocations been linked to plan objectives?

11. How have staffing decisions been linked to the objectives of the strategic plan?

12. How have equipment and capital improvements been linked to plan objectives?

13. How have enrollment strategies been linked to plan objectives? Recruitment, retention.

14. How have fund raising goals been linked to plan objectives?

15. What other resource acquisition strategies were developed to meet plan objectives?

16. What has been the level of interest and involvement of the trustees in planning? Was the plan formally adopted?

17. What would you describe as the key strategic decisions/initiatives made and implemented?

18. Besides yourself, who had responsibility for managing the implementation of the plan? Was there a specific operating plan and timetable? How did you know if you were on course?

19. Describe any on-going planning activities in place at the college.

20. What ancillary benefits does planning have?

APPENDIX E

Methodological Framework for Individual Case Analyses

Setting and Institutional Profile
- Location, size, religious affiliation, physical setting, mission, and culture
- Purpose of planning initiative

Planning Process
- Structure, timetable, use of outside consultants
- Participants
- Leadership
- External assessment
- Communications and adoption

The Plan
- Form and content
- Summary of plan goals, key strategic initiatives
- Measurability
- Subsequent plan goals
- Emergent strategies

Results
- Each specific plan goal
- Fiscal condition
- Enrollment
- Emergent strategy

Implementation
- Oversight responsibility
- Operational plans
- Budget/resource linkage
- Ongoing planning, evaluation, revisions

Factors Influencing Observed Results
- Leadership
- Participation
- Nature and substance of plan

Summary
- Extent to which plan goals were achieved overall

APPENDIX F

Methodological Framework for Cross-Site Analysis

Observed Results
- Fiscal Condition
  - Revenues
  - Expenditures
  - Endowment growth
  - Capital campaigns
- Enrollment
  - Size of freshmen class and total student body
  - Academic profile
  - Ethnic and gender shifts
- Academic Affairs
  - Size and composition of faculty
  - Instructional budget
  - Major programmatic changes
- Physical Plant
- Overall Level of Achievement of Plan Goals
  - Number of objectives realized by each institution
  - Collective results

Planning
- Planning Process
  - Structure
  - Participants
  - External/internal assessments
- Ongoing Planning and Evaluation
- Character of Plans
  - Content
  - Measurability
  - Strategic character
  - Emergent strategies

Implementation and Factors Influencing Observed Results
- Leadership
- Budget/Resource Linkage to Strategic Priorities
- Operational Planning
- Participation and Ownership

APPENDIX G

Sources of Evidence

COLLEGE A

Data

IPEDS Reports, 1984-1994, for Finance, Library, and Salaries
Institutional Budgets, 1984-1994
Institutional Audits, 1984-1994
Admissions Office Yearly Report, 1985-1994
Registrar's Enrollment Reports, 1985-1994
Composite of Annual Admissions and Registrars Reports for 1985-1994
Retention and Graduation Rates Composite Report for 1983-1994
Annual Gift Reports, 1984-1994
Survey of Alumni and Parents, May 1988
1993 Self Study Appendices

Interviews

15 formal, 5 informal: President, Chief Academic Officer, Chief Financial Officer, Chief Enrollment and Student Affairs Officer, Academic Deans, Administrators in development, student affairs, and business offices, 7 faculty members, one student.

Documents

Planning

CAPHE Grant Application, Implementation Plan, Progress and Final Reports
Strategic Planning Steering Committee Minutes and Reports
Strategic Planning Task Force Reports
1989 Strategic Plan
1989 Provost's Memorandum to academic departments
1989 Provost's Memoranda to Academic Task Force
1990 President's Progress Report to Board of Trustees
1990 President's Progress Report to Faculty/Staff/Students/Trustees
1993 Strategic Plan Progress Report
1993 Self Study Report and Appendices

Administrative

Administrative Organizational Chart, 1994
Board of Trustee Committee Structure and Assignments, 1994-95

Academic

College Catalogs, 1984-1994
Miscellaneous bulletins and brochures, 1994-95
(Humanities, Off-Campus Programs, etc.)

Admissions

Recruitment and Financial Aid Literature, 1994-95
c1987 Viewbook & Lifestyle flyer (archival material)

Alumni/Development/External Communications

Mid-1980's literature (archival material)
Capital campaign literature (Case, Volunteer Manual)
Campaign Concluding Summary, 1994
Fund Raising literature, 1994-95
Alumni Newsletter, December, 1994; February, 1995
Annual Reports, 1984-1994
President's Letter to Alumni/Friends, Winter 1995

Business and Finance

1995 Report to Business and Finance Committee of Board of Trustees
1992 Comparison Report of Five Competitor College Peer Groups

Student Affairs

1990 Statement of Direction
Student Newspaper, 3 issues, Winter, 1995
Weekly calendar of activities, February 28, 1995
Miscellaneous other events calendars, 1994-95
Career Center flyers, 1994-95
Student Health Services flyer, 1994-95
Academic Support Center flyer, 1994-95

Visual Observations

Campus Tour
Campus Bookstore
Cafeteria, Snack Bars, Faculty Dining Room
Student Union Bulletin Boards
Students in off-campus settings

COLLEGE B

Data

IPEDS Reports, 1984-1994 for Finance, Enrollment, Library, Completions, and Institutional Characteristics
Institutional Budget Summary, 1984-1995
Institutional Audits, 1984-1994
Admissions Office Comprehensive Profile Report, 1994
Admissions Office Fall Summary Report, 1994
Registrar's Annual Report, 1993-94
Cohort Retention Report for 1986-1993
Development Office Report of Total Gifts, 1989-1994
Development Office Report of Annual Fund Donations, 1989-1994
Profile of Faculty Report for 1986-1994
EEOC Data, 1989-1994
AAUP Faculty Salary Survey, 1988-1995

Interviews

14 formal, 1 informal: President, Chief Academic Officer, Chief Financial Officer, Chief Enrollment Officer, Chief Student Affairs Officer, Chief Advancement Officer, Academic Deans, Administrators in institutional research, special programs, and administrative services, 4 faculty members.

Documents

Planning

CAPHE Grant Application, Implementation Plan, Progress and Final Reports
1987 Strategic Plan
1988 Self Study Report
1990-91 Planning Priorities and Objectives
1992-93 Goals and Objectives
1993-94 Goals and Objectives
1993 Trustee Report on Board Governance of the Coordinate Relationship
1994-95 Continuous Quality Improvement (CQI) Report
1994-95 Institutional Research Plan Abstract
1995 Coordinate Mission and Values Vision Statement

Academic

College Catalogs, 1984-1994
Core Curriculum Guidelines Manual, 1990
Gender Flagged Course Listing, 1994-95
Women in Honors Program Report, 1990-94
Study Abroad Participants Report, 1977-94
Miscellaneous brochures for lecture and performing arts series, 1994-95

Administrative

Administrative Organizational Chart, 1994
President's Annual Report to Board of Trustees, 1990, 1991, 1992, 1993

Admissions

Recruitment literature, 1994-95
Admissions Marketing Plan, 1992
1995 Positioning Statement Report

Alumni/Development/External Communications

Fund Raising literature, 1994-95
Capital campaign literature
Campaign Feasibility Study, 1988
Alumni Newsletter, 2 issues, Winter, 1995
Annual Gift Reports, 1984-1994

Business and Finance

Financial Planning Model for 1995-96
Reports on Financial Assistance filed with Government Agencies, 1992

Student Affairs

Student Development and Athletic staffing rosters, 1993-94, 1994-95
Student Newspaper, 2 issues, Winter, 1995
Athletic Event Schedule, 1994-95
Campus Ministry flyer, 1994-95
Community Service flyer, 1994-95
Gender Issues flyer, 1994-95
Leadership flyer, 1994-95
Safety and Security flyer, 1994-95

Visual Observations

Campus Tour
Campus Bookstore
Cafeteria, Snack Bars
Bulletin Boards
Student Center Lounge

COLLEGE C

Data

IPEDS Reports, 1984-1994, for Enrollment, Library, Finance, and Academics
Institutional Budgets, 1990-1994
Institutional Audits, 1990-1994
Institutional Fact File Reports, 1978-1994, for Enrollment, Faculty, Degrees, Salaries, and Housing
Attrition, Retention, and Graduation Rate Composite Report for 1987-1994

Interviews

12 formal, 2 informal: President, Academic Vice President, Financial Vice President, Student Affairs Vice President, Advancement Vice President, Chief Enrollment Officer, head of Institutional Research and Planning, 6 faculty members, and one former administrator.

Documents

Planning

CAPHE Grant Application, Implementation Plan, Progress and Final Reports
1988-91 Strategic Plan
1989 Progress Report on Plan of Action
1990 Strategic Plan
1990 Updated Plan of Action for 1989-92
1990 Academic Vice President's Memorandum to college community
1992 President's Memoranda to Faculty, Staff, and Students
1992 Planning Meeting Agendas and handouts
1992-97 Strategic Plan
Executive Summary of Facilities Master Plan, 1992
1993 Self Study Report
Accreditation Evaluation Team Report, 1993
1994-5 Planning Meeting Agendas, Minutes, and handouts

Academic

College Catalogs, 1984-1994
Extension Campus Bulletin, 1994
Graduate Bulletins, 1994: MBA, Education
Campus newsletter, 3 issues, 1994-95

Administrative

Administrative Organizational Chart, 1994

Admissions

Recruitment and Financial Aid literature, 1984-85 through 1994-95
Survey of Admitted Students, 1988

Alumni/Development/External Communications

President's Annual Report, 1984-1994
Alumni Magazine, 3 issues 1993, 1994, and 1995
Fund Raising literature, 1994-95
Journal on Jesuit Higher Education, 1992 and 1994 issues

Student Affairs

Student Handbook, 1984-1994
Career Center 1994 Annual Report
Residence Life 1994 Annual Report
Recreational Life Center 1994 Annual Report
Counseling Center 1994 Annual Report
Student Newspaper, 2 issues, Winter 1995
Student Life Newsletter, 5 issues, Winter 1995
Miscellaneous other events notices, 1994-95

Visual Observations

Campus Tour
Campus Bookstore
Bulletin Boards

COLLEGE D

Data

IPEDS Reports, 1988-1994 for Finance, 1989-1994 for Enrollment, and 1985-1994 for Staff
Institutional Budget Summary for E and G Expenditures, 1985-1995
Institutional Research Fact Book for 1982-1992
(Compiled from IPEDS, Registrar, Admissions, and other internal data)
Supplemental Fact Sheet, 1993, 1994, 1995
Development Office Annual Gift Report, 1992-93, 1993-94
Strategic Indicators Report, 1994
(Fiscal, Enrollment, and Employee Data for 1984-1994)

Interviews

12 formal, 1 informal: President, Chief Financial Officer, Chief Academic Officer, Chief Student Affairs Officer, Chief Advancement Officer, Chief Admissions Officer, administrator, 4 faculty members, 2 students.

Documents

Planning

CAPHE Grant Application, Progress, and Final Reports
1989 Strategic Planning Committee Handbooks, Memoranda, Agendas, Handouts, and supporting documents
1989 Mission and Vision Statements
1990 Re-accreditation Team Report
1990 Strategic Plan

Academic

College Catalogs, 1984-1994
Course Registration Guide, 1995-96
Brochure for performing arts series, 1994-95
Library Fact Sheet, 1993-94

Administrative

President,s Inaugural Address
President's Annual Convocation Address, 1988, 1989, 1990, 1992, 1994
1994 Board of Trustees Retreat Manual
Employee Newsletter, 2 issues, Winter 1994-95
Administrative Organizational Charts, 1994

Admissions

Recruitment literature, 1994-95
Admitted Student Questionnaire Results Report, 1994
The Multicultural Experience
Newsletter, Spring 1994
Courses of Study, 1994

Alumni/Development/External Communications

College Magazine, Quarterly, 1984-1994
Annual Honor Roll of Donors, 1984-1994
Fund Raising literature, 1994-95
Capital campaign literature
Trustee Gift Policies, 1994
Summaries of Development, Alumni, and Public Information Programming
College D: A Centennial History

Business and Finance

1994 Financial Officer's Memorandum
re Status of Strategic Recommendations for Financial Affairs
1994 Financial Officer's Memorandum re Policies and Procedures
1994 Finance Committee Annual Report

Student Affairs

Student Handbook, 1984-1994
Student Services Mission Statement, 1994
Student Newspaper, Spring 1995
Career Center flyer, 1994-95
Volunteer Center flyer, 1994-95
Community Service flyer, 1994-95
Campus Safety flyer, 1994-95

Visual Observations

Campus Tour
Campus Bookstore
Cafeteria, Snack Bars
Bulletin Boards

COLLEGE E

Data

1994 Self Study Appendices for 1984-1994 (Drawn from IPEDS Reports) for Enrollment, Finance, Library, and Salaries
Additional reports for Retention and Development
Institutional Audits, 1984-1994
Institutional Research Reports, 1985-1994 for Enrollment, Retention, Student Aid, and Finance
Admissions Statistics Report, Fall 1995

Interviews

17 formal, 2 informal: President, Academic Vice President, Financial Vice President, Student Affairs Vice President, Advancement Vice President, Administrative Vice President, Chief Enrollment Officer, Administrators in academic affairs, admissions, and business offices, 2 faculty members, 3 students, and one non-university business professional.

Documents

Planning

CAPHE Grant Application, Implementation Plan, Progress and Final Reports
1987 Strategic Plan
1992 Strategic Academic Plan
1993 Academic Plan Progress Report
1994 Self Study Report
1994 Re-accreditation Visiting Team Report

Academic

College Catalogs, 1984-1994
Course Registration Guide, Fall 1995

Administrative

Mission Statement
Fact Book, 1994-95
Human Resources Recruitment Guidelines and supporting materials
Organization Chart, 1994

Admissions

Viewbooks, 1981-1994
Recruitment and Financial Aid literature, 1994-95
Admitted Student Questionnaire Report, 1994
Academic department flyers, 1994

Alumni/Development/External Communications

- Alumni Newsletter, Winter, 1995
- Alumni Newsletter with Donor Honor Roll, 1984-1994
- Capital campaign literature
- Capital Campaign Final Report, April, 1992
- Endowed Funds Booklet, 1993
- Fund Raising literature, 1994-95
- President's Annual Reports, 1984-1994

Student Affairs

- Student Handbook, 1984-1994
- Student Newspaper, March, 1995
- Weekly calendar of activities, March 30, 1995
- Miscellaneous other events calendars, 1994-95
- Campus Safety flyers, 1992, 1993, 1994
- Drug Abuse flyer, 1994
- Wellness and Holistic Living flyer, 1994
- Local newspaper article, April, 1995

Visual Observations

- Campus Tour
- Campus Bookstore
- Bulletin Boards

COUNCIL FOR THE ADVANCEMENT OF PRIVATE HIGHER EDUCATION

File Documents Reviewed for Each Study Institution

- Institutional Profile
- Institutional Data Sheets
- Proposal Narrative
- Proposal Budget
- Project Evaluation Plan
- Progress Report(s)
- Final Project Report
- Strategic Plan and Supporting Documents

VITA

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EDUCATION

Ph.D., Higher Education Administration, Virginia Polytechnic Institute and State University, Blacksburg, Virginia, 1996.

M.A., Communications, St. Louis University, St. Louis, Missouri, 1976.

B.A., Communication Arts and German, Lindenwood College, St. Charles, Missouri, 1971.

University of Munich, Liberal Arts Curriculum, Munich, Germany, 1969-70.

PROFESSIONAL EXPERIENCE

Vice President
Foundation for Independent Higher Education, Stamford, CT 1992-1994.
Chief Operating Officer with oversight responsibility for financial affairs, fund raising, public relations, and program administration.

Executive Director of Institutional Advancement
Hollins College, Roanoke, VA 1988-91.
Responsible for offices of Development and Alumnae Relations. Secretary of the Hollins College Corporation.

Dean of Admissions, Director of Admissions
Hollins College, Roanoke, VA 1977-88.
Responsible for offices of Admissions, Financial Aid, Summer Programs, and Institutional Research.

Associate Director of Admissions, Director of Alumnae Affairs, Assistant Director of Admissions
Lindenwood College, St. Charles, MO 1971-77.

PROFESSIONAL ACTIVITIES

Presenter and panelist at professional conferences of major educational associations including CASE, NACAC, AACRAO, and College Board.

Current Memberships
National Society of Fund Raising Executives.
Phi Delta Kappa.
Phi Kappa Phi.
Society for College and University Planning.

Consultancies
The Arts Council of the Blue Ridge, Roanoke, VA, 1995.
Consortium for Advancement of Private Higher Education, Washington, D.C., 1995.
Educational Funding Services, Signet Bank, Maryland, 1994-95.
Academy for Educational Development, Washington, D.C., 1978.

COMMUNITY ACTIVITIES & PERSONAL INTERESTS

Art Museum of Western Virginia, Trustee, 1996-.
Arts Council of the Blue Ridge, Board of Directors, 1996-.
Junior League, Sustaining Member, Roanoke, VA.
Chair, Membership, Education and Training; Member, Board of Directors, 1984-85.
Roanoke Valley Historical Society, Board of Directors, 1984-1988.
Scott Robertson Memorial Scholarship, Selection Committee, 1986-present.

Sailing, traveling, and reading.