

SECTION VI

ADMINISTRATIVE PROCESSES

6.1 Organization and Administration

The following five sections address the various ways that the administration at CNU discharges its responsibility to achieve its institutional goals. The organizational patterns and practices of the University will be described in the process of addressing the criteria that pertain to the nomenclature of the institution (descriptive titles and terms), the governing board, advisory committees, official policies, and administrative organization.

The criteria for this section emphasize that appropriate policies and procedures be clearly formulated in writing, published in appropriate documents, made readily available to all parties who have an interest in the policies, and implemented in the governance of the University. The University has been strongly compliant with the formulation, publication, and distribution of adequate policies and procedures. The few lapses in this area are minor and are addressed in the text with specific recommendations. More troublesome is the area of "implementation," which raises the question of whether we "practice what we preach."

During the year of this self-study (1994-95) a number of controversial events occurred on campus, raising questions about a) whether our official policies have been violated, and b) whether those policies embody unnecessary ambiguities that foster conflicts which could be avoided or ameliorated by better policies. Long-time faculty members at CNU call the 1994-95 academic year the most difficult in CNU history, and it has prompted intense soul-searching in many quarters. Of course, this self-study must attempt to give full and fair coverage to events that seem to suggest that we are out of joint. The remainder of this introduction sketches the most troublesome events of the year, and then essays the committee's best judgment of their cause.

- Enrollment estimates for 1994-95 were significantly higher than actual enrollments, based in part on overly optimistic projections for occupancy of the new residence hall, leading to a revenue shortfall over \$900,000.00. The adjustments for this--larger classes and virtual elimination of travel funds, among other things--worked a hardship on a number of faculty and raised questions about the adequacy of our budgeting process.
- For a good part of 1994-95 we had an unusual number of unfilled positions in important administrative posts such as director of admissions, registrar, library director, director of housing, director of student life, dean of students, media services director, and director of institutional research. Is the slowness in filling these positions due to administrative foot dragging or is there another explanation?

- The faculty and the president were unable to resolve disagreements over two of the ten proposals that comprised new general education requirements. The president accepted eight of the ten proposals, but rejected the other two in his recommendation to the Board. The faculty subsequently passed a resolution expressing "alarm" at having its recommendations thus overruled, even though the University Handbook indicates that curricular changes must be approved by the provost and forwarded to the Board of Visitors by the president. Is either party seriously at variance with the letter or the spirit of our policies and procedures, or are these kinds of stand-offs legitimated by those policies and procedures?
- In response to a directive from the Governor, all state universities and colleges had to submit plans to restructure themselves to achieve their missions with greater efficiency. The CNU restructuring plan was approved in January 1995. But the major features of the plan were formulated without broad faculty consultation. Does this represent a violation of faculty participation in the governance of the University, especially in the academic area?
- In late April 1995 the provost sent notice to all faculty that he was resigning his position. While the resignation was not a surprise because a year earlier he had indicated that it was forthcoming, the language of his communication, always carefully crafted, suggested the need for a different kind of provost who has new values and perspectives. This notice raised the question of who or what is creating the need for a different kind of chief academic administrator in the University.

While not all of these matters are directly relevant to the criteria that apply to this section, they are grouped together here to indicate the troublesome context in which we must consider whether our policies and procedures are adequately "implemented." Is it realistic to believe that some or all of these problems can be fixed and even avoided in the future if only we have better implementation of better policies and procedures? While we find room for improvements in policies and implementation, we also find it unrealistic to think that they can guarantee the avoidance of all unsettling events. Our living through and investigation of the developments of this year lead us to two basic conclusions.

First, the problems were not caused by any "villains" at CNU. There is not a person or an office at whose door the blame can be laid for the exceptional number of difficulties that have visited us in this year.

Second, the real sources of these difficulties are three in number. The first two are structural tensions that are built into CNU's organization and administration; the third is a given in any human institution. The first structural tension is between the state government and the local university. When the Commonwealth of Virginia issues an edict with a timetable, the local university must respond, even if it comes during the summer when faculty are not available for consultation

and participation, as happened in shaping CNU's restructuring plan. There are two centers of initiative operative at CNU, Richmond and the self-governing procedures of the University. It is to be expected that radical initiatives from one center will sometimes offend the felt prerogatives of the other. It is a systemic problem that will not go away as long as we are a state university.

The second structural conflict is within the university itself, particularly where the University Handbook gives the power to the provost and to the president to overrule the faculty's judgment, duly made, regarding curricular matters. As long as we have internal checks and balances, the possibility that the faculty can be thwarted is built in. The most we can hope for here is to define more precisely the areas of possible conflict and to delineate more specifically the legitimate justifications for joining and sustaining those conflicts. In the conflict over general education requirements both the faculty and the president were acting within the framework of legitimate procedures and powers as outlined in the Handbook. Perhaps the Handbook can be refined to reduce the areas of possible conflict. See section 6.1.4 below, and especially section 4.2.1 to which it refers.

The third source of the "problems of the year" is simple human error, which is itself a given in any year. Sometimes well-meaning people create problems because they simply do not foresee all the important consequences of their acts. It does appear that some Board members, in an attempt to do something positive for the College of Business and Economics, overstepped the boundary between policy-making and administration. At the time of this writing, the Board seems to have backed off from this intrusion in recognition of its impropriety. See section 6.1.2 below for a recommendation addressed to this issue.

We offer these observations in an attempt to gain some perspective on what was an especially troubling year in the organization and administration at CNU. What emerged is that problems like these may be with us in a structural way. Certainly some improvements can be made, and what follows will attempt to pinpoint several improvements. We cannot completely eliminate our vulnerability to problems that come from any of the three sources just mentioned. But we can take heart that the problem is not a particular villain or some exceptional flaw in CNU. Indeed, it should be obvious from what follows that, in spite of this introduction, very much is right about CNU.

6.1.1 Descriptive Titles and Terms

The official name of the institution, Christopher Newport University, appropriately reflects the history of the southeastern Virginia peninsula region through reference to Captain Christopher Newport, who commanded the three ships that landed in Jamestown in 1607. The name also reflects the community of Newport News in which Christopher Newport University is located. The University designation accurately reflects the institution's growth from a college to a university as it offers master's degree programs and graduate courses targeted to the needs of the region.

The titles of administrative heads are accurate, descriptive, and appropriate. These titles are clearly depicted in organizational charts and descriptions published in the University Handbook as well as other institutional documents. The duties and responsibilities of each position are clear and appropriate, and are published in position descriptions established by the Commonwealth of Virginia.

The designations of administrative and academic divisions are clear and appropriate. The terms used to describe academic offerings and the names of degrees are accurate, descriptive and appropriate. These program offerings are clearly described in the University Catalog and the University Handbook. The terms used to describe academic offerings and degrees are consistent with those designated by the State Council of Higher Education in Virginia and are approved by the University Curriculum Committee and the Board of Visitors.

6.1.2 Governing Board

The Governing Board of CNU is its Board of Visitors. The board has responsibility for the general institutional policies of the University. The Code of Virginia (Sec. 23-49.23) establishes the Board of Visitors of Christopher Newport University as a corporation under the control of the General Assembly. In Sec. 23-49.28 the Board is vested with its rights and powers:

The Board shall control and expend the funds of the University and any appropriation hereafter provided; control all real estate and personal property of the University; make all needful rules and regulations concerning the University; appoint the president who shall be its chief executive officer, and all teachers; fix their salaries; provide for the employment of other personnel as required; and generally direct the affairs of the University.

Article III of the By-Laws of the Board confirms these responsibilities by stating that "The Board shall...make all needful rules and regulations concerning the University,...and generally direct the affairs of the University." The By-Laws further stipulate the duties and responsibilities of the Board by quoting the passage from the Virginia Code quoted above.

In the conduct of official business, the Board acts as a single body. The official decisions of the Board are made by at least a quorum of members (7) and not by individual members acting alone or in a subgroup. According to the president, only the rector or his delegate may speak for the Board and the Board speaks by formal resolution. All other statements are informal and not binding. All resolutions are passed at meetings of the Board which are, by statute, open.

In responding to survey questions on this issue, Board members indicated that they knew their duties and responsibilities as Board members (BvSv, Questions 13, 17, 37) and that they were able to fulfill their responsibilities with the current number of members, term limits, and rotation system (Questions 25, 26, 27). Only one member felt the rotation policy presented a problem.

The By-Laws of the Board (Article II) and the Code of Virginia (Sec. 23-49.25) state that there shall be 14 members of the Board, with no more than two members being non-residents of Virginia, appointed by the Governor, subject to confirmation by the General Assembly (23-49.25 of the Code). [This latter requirement was deleted in the most recent General Assembly.] They also state that the length of service shall be for four-year terms, with allowance for reappointment to a second four-year term. The staggered terms of the current 14 members are:

terms ending in 1995	3 members	2 in second terms
terms ending in 1996	3 members	1 in second term
terms ending in 1997	3 members	1 in second term
terms ending in 1998	5 members	1 in second term

While the Board of Visitors acts as a body in official business, a committee structure accomplishes much of the work leading up to its formal actions. The officers of the Board (Article V of By-Laws) are the rector, vice-rector, and secretary.

The Executive Committee (Article VI of the By-Laws) consists of the rector, vice-rector, secretary, two members at-large, and the chairmen of the standing committees. There are four standing committees (Article VII of the By-Laws) of the Board: (1) the Committee on Finance and Development, which includes Finance, Buildings and Grounds, and Investment and Development; (2) the Committee on Academic Affairs, (3) the Committee on Student Affairs; and (4) the Committee on Audit.

According to the By-laws (Article VII, Section 1), the Committee on Finance has the duty to consider and make recommendations to the Board concerning fiscal policy and the financial and economic operations of the University. This section states that "the Committee shall, through regular reporting to the Board, aid it in meeting its fiduciary responsibilities to the Commonwealth of Virginia."

The President has the responsibility under Article VIII, Section 1 to keep the Board informed about the financial condition and stability of the institution. According to practice, the Committee on Finance meets more frequently than the other standing committees of the Board. In addition the auditor of public accounts reviews the institution's accounts on a regular basis and makes reports to the Board.

The kind and frequency of meetings are presented in the By-Laws, Article IV (Meetings), sections 1-3 and in the Code of Virginia, Sec. 23-49.28. There are three kinds of meetings: the annual meeting in June; regular meetings in September, December, March, and at other such times as the Board may designate; and special meetings which are called by the rector or any three members of the Board. In addition to these meetings, it has been the practice of the Board that the Executive Committee formally meets four times a year in August, November, February, and April.

Both the Virginia Code and the By-Laws of the Board of Visitors stipulate that Board members can be removed only "for cause," which is defined as failure "to perform the duties of his office for one year without sufficient cause shown to the board." (Virginia Code 23-49.27). Article II of the By-Laws refers to the procedures for reporting the failure and vacating the position that are spelled out in the Virginia Code.

In responding to survey questions on the frequency and length of meetings, the members of the Board expressed mixed views. Members were essentially evenly split on whether or not meetings were frequent enough or long enough to allow the Board to fulfill all of its duties (BvSv, Question 23).

In addition, Board members indicated they were sufficiently informed on the financial status of the University but gave mixed responses as to whether they clearly understood their fiduciary responsibility for the institution in regard to

investment management and budgetary analysis (BvSv, Questions 14, 16). They also gave mixed responses as to whether they receive adequate information to make informed judgments (BvSv, Question 24).

The responsibilities of the Board include establishing broad institutional policies, securing financial resources to support the institutional goals, and selecting the chief executive officer. See the earlier quotation from the Virginia Code and its echo in the By-Laws of the Board.

The By-Laws are silent on the topic of undue pressure on Board members and the administration from political, religious, and other external bodies except to state that membership on the Board is by appointment by the Governor, subject to confirmation by the General Assembly. According to the president, the Code of Virginia prohibits the application of undue pressure from political, religious, and other external bodies on Board members. In addition, it has been the practice of the Board to shield the president and administration from such pressures as well. The president can only be removed from office by formal resolution of the Board.

The By-Laws of the Board acknowledge and support the distinction between policy-making, the Board's function, and policy administration and implementation, the administration and faculty's function. Indeed, it has been the Board's practice that new members attend an orientation by the National Association of Governing Boards in which the distinction between policy making and policy implementation and administration is explicitly discussed. In spite of this, however, the president reported in a memorandum in April 1995 that the Board was placing unwarranted and illicit pressure upon the provost and the Undergraduate Curriculum Committee on behalf of curricular changes in the College of Business and Economics. This episode appears to be an isolated instance, but it is, nevertheless, a clear violation of the line between policy making and administration, and warrants the following recommendation.

RECOMMENDATION: The Board of Visitors must consistently comply with its own and the Commission on Colleges' principle of separation of policy making from administration.

6.1.3 Advisory Committees

There are ten advisory boards that support and guide various academic programs and special offices at CNU. All of them have clearly defined roles and are active.

The College of Business and Economics Board of Advisors serves in an advisory, supportive, and promotional capacity to ensure the relevance and strength of the business and economic curriculum and to be a link between the College and business community.

The Advisory Board of the Department of Physics and Computer Science advises and supports the department on existing and proposed educational and academic programs and other activities.

The Social Work Advisory Board guides the continuing development of social work education at Christopher Newport

University. Its chief obligation is to ensure development of a social work program consistent with community needs and goals and to ensure a high degree of professionalism and quality.

The Advisory Board to the Specialty in Legal Studies helps ensure compliance with standards of the American Bar Association, the approving body for the program.

The Joseph Study Advisory Board provides guidance to the Joseph Center in its studies of local and regional government.

The Center for Effective Teaching Advisory Board advises the Teacher Education Program and provides liaison with school systems in the region.

The Mathematics Department Advisory Board actively assists faculty in grant proposals and provides guidance on the relevance of the mathematics program to the actual world of work.

The Biology Department has two advisory committees: a recently formed Departmental Advisory Committee, which has not yet had its first meeting, and a Program Committee for the MA in Environmental Science, which, as the name suggests, advises the master's program.

RECOMMENDATION: The Biology Department Advisory Committee should hold its initial meeting in the Fall semester, 1995.

The Center for Critical Thinking has a non-local advisory board consisting of an international body of experts on critical thinking in higher education. Meetings occur in conjunction with professional conferences, and members are available by telephone conference as required.

6.1.4 Official Policies

The University publishes an annual document entitled The University Handbook, which is distributed to the University community. It contains detailed information regarding the duties and responsibilities of various administrative officers and all other aspects of university governance listed in the criteria. Those features are listed below and are correlated with the pertinent sections of the 1995 edition of The Handbook:

1. Duties and Responsibilities of Administrative Officers. Section III of the Handbook describes the duties of the president, the provost, the executive vice president, the dean of students, and the vice president for development. In addition, this section provides an administrative organizational chart, which is included in this report. For purposes of comparison, the chart from the 1994 Handbook is also included so that the various changes in administrative structure during the 1994-95 academic year can be seen.

2. Patterns of Institutional Organization. Section III describes the various offices that answer to each of the major administrators. The lines of accountability are described in prose and diagramed in the organizational chart. For the record, those directly answerable to the president are the executive assistant to the president, the director of internal audit, the special assistant to the president, the provost, the executive vice president, the vice president for development, and the dean of students.

Answering directly to the provost are the assistant to the provost, the dean of the college of Arts and Humanities, the dean of the College of Social Science and Professional Studies (who supervises the director of continuing education and public service), the dean of the College of Business and Economics, the dean of the College of Science and Technology, the dean of academic support (who directly supervises the director of the computer center, the director of the Captain John Smith Library, the director of admissions, the university registrar, the director of financial aid, and the director of sponsored programs), and the director of graduate studies.

Answering to the executive vice president (EVP) are the following: associate vice president for planning and budget, the associate vice president for finance and comptroller, the director of university housing, the director of personnel and payroll, the director of university services, the director of the university bookstore, the director of plant operations, the director of dining services, and the chief of University police.

Answering directly to the dean of students is the director of student life, the director of career and counseling services, the director of athletics, and the director of minority student services.

Answering directly to the vice president for development are the assistant vice-president for development and university relations, the director of the CNU Annual Fund, and the director of corporate and foundation giving.

3. The Role of the Faculty in Institutional Governance. Section IV of the Handbook spells out the standing committees of the University, the Faculty Senate, and other matters pertaining to faculty participation in university governance. Section V ("Academic Regulations and Information") spells out policies and procedures for establishing, reorganizing, or eliminating academic programs and various other matters such as procedures for handling grade challenges.

In spite of the requirement for faculty participation in university governance, its "implementation" can be thwarted in unusual circumstances. When the major shape of the restructuring of the University was formulated in the summer of 1994, there was virtually no participation by the instructional faculty, chiefly because the Commonwealth put a "short fuse" on the demand and faculty simply were not available. Later work did include the president of the Faculty Senate. To avoid being "caught" in these circumstances in the future, the whole planning process of the University has been reorganized as a continuing activity. (See Annex Five of the restructuring document, "Restructuring of the Planning

Process" and page 27 of the Draft of the Strategic Plan [June 13, 1995], "The Planning Process.")

4. Statements Governing Tenure or Employment Security. Sections VII.B.8 deals with promotion and tenure, followed by VII.B.9 which deals with procedures for termination of appointments.
5. Statements Governing Due Process and Other Institutional Policies and Procedures that Affect the Faculty and other Personnel. The remainder of section VII ("Personnel Regulations and Information") spells out due process and other matters as applicable to the instructional and administrative faculty, as well as various policies that pertain to classified personnel and student employees.

6.1.5 Administrative Organization

The administrative organization of Christopher Newport University is consistent with the purpose and philosophy of the institution and enables each unit to perform its responsibilities as stated by the University Mission Statement and the currently adopted goals. Section I.B of the 1995 University Handbook provides the Mission Statement and goals of the University. Christopher Newport University is organized around a centralized structure which integrates a mixture of line and staff functions. The line functions include those directly concerned with the creation and distribution of the educational objectives of the University. Staff functions augment the line functions and provide additional skill and expertise in specializations such as internal audit, development, multi-cultural affairs, and affirmative action. The line and staff functions are supplemented by standing and appointed committees which provide a reasonable opportunity for the faculty to participate in the formulation, development, review, and alteration of the policies, regulations, and procedures affecting academic and institutional issues within the University organization. Satisfaction with the administrative organization is demonstrated by the Christopher Newport University Self-Study Faculty Survey, where less than ten percent of the respondents disagreed or strongly disagreed with statement 216: "The organizational structure at CNU reflects the purpose and philosophy of the University."

The specific delegation of the authority for all educational offerings and functions is clearly identified. Through the organization of the Office of the Provost, the assigned responsibility and delegated authority is clearly established for all academic affairs of the University. (See Section III.B.2 1995 University Handbook for the delineation of the provost's specific responsibilities.) An assistant to the provost, five deans and four directors play key roles in assisting the provost. The University is authorized to confer the bachelor's and also the master of arts degrees, the bachelor's and also the master of science degrees in a variety of fields (See Section I-D of the 1994 University Handbook), and the following specialized degrees: B.S. in Accounting, B.S. in Business Administration, Bachelor of Music, B.S. in Governmental Administration, B.S. in Nursing, and B.S. in Information Science. Additionally, the University offers cooperative programs with other educational institutions, allowing students to pursue formal degree programs through joint efforts. Examples include the master of forestry degree and the master of environmental management degree in cooperation with Duke University; articulation agreements with local community colleges which allow students, upon the awarding of a two-year degree, to transfer with full credit to Christopher Newport University; and baccalaureate engineering degree programs at nearby Old Dominion University or Virginia Polytechnic Institute and State University.

A review of various surveys administered during the Self Study indicates that faculty and staff are satisfied that administrative responsibility for all educational offerings and functions is clearly identified. For example: (a) responses by the administrative and professional faculty to Question 15 of the Self-Study Faculty Survey indicate that out of 37 responses, 4 strongly agree and 18 agree with the statement "The administrative structure allows effective fulfillment of the purpose"; (b) responses to Question 94 of the Self-Study Undergraduate Student Survey indicate that of 1142 responses 126 strongly agreed and 425 agreed with the statement "I can clearly identify which administrative offices have responsibility and authority for the various educational offerings, programs, and functions at the University"; (c) responses by the faculty to Question 39 of the Self-Study Faculty Survey indicate that out of 37 responses, 9 strongly agree and 14 agree with the statement "The administrative organization is clearly structured to avoid overlapping responsibilities"; and (d) responses by the staff through Staff Comments indicate no dissatisfaction with staff's understanding of administrative responsibilities, although it is noted that no specific Self-Study Staff Survey question specifically addressed this issue.

The 1995 University Handbook summarizes all major lines of responsibility and authority for the institution. Note that responses to Question 44 of the Self-Study Administrative and Professional Faculty Survey indicate that out of 37 responses, 14 strongly agree and 14 agree with the statement "The organization chart clearly defines lines of responsibility and authority for establishing and administering institutional policies." Likewise, response to the Self-Study Faculty Survey indicated agreement with Statement 217, "The organization structure at CNU facilitates the effective and efficient operation of the University. The 1995 University Handbook in Section III.A presents a summary organization chart. Additionally, the office of the director of Personnel and Payroll maintains effective "Detailed Organization Charts for Christopher Newport University," which are available upon request and are coordinated with the current Commonwealth of Virginia Compensation Plan.

The combination of the 1995 University Handbook and "Detailed Organization Charts for Christopher Newport University" clearly defines the duties of the chief executive officer and other administrative officials and ensures that these duties are made known to the faculty and staff. Statement 218 of the Self-Study Faculty survey shows that only eight of 97 respondents did not agree with the statement "I can clearly identify which administrative offices have responsibility and authority for the various educational offerings." In the same survey, only one respondent disagreed with Statement 211 that "The duties of the President and the administrative officials who report to him are clearly defined in the CNU Handbook." Even these low levels of disagreement may be attributed to the rapid change as the institution continues its metamorphosis to regional university status. The University does perform admirably in its effort to provide information regarding its organization and also the duties of those employed within the institution.

Administrative officers are required to possess credentials, exhibit expertise, and demonstrate competency appropriate to their areas of responsibility. These criteria are painstakingly followed to ensure that the requisite skills, knowledge factors, and experience levels are defined and a position description developed before an opening is announced. Advertising for positions is made in widely circulated periodicals and through appropriate organizations. Candidate applications are accepted and screened for applicable credentials, experience, and/or demonstrated competence by an autonomous search committee. A final slate of recommended candidates is provided, and negotiations for employment follow.

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As a Commonwealth agency, the University must conform to established state regulations, designed to ensure that the best qualified person is identified for each position. Through Affirmative Action plans, the University ensures equal employment opportunity for all employees and potential employees. The stated employment policies of the University not only meet the letter of the law and contractual obligations, but also carry out the full spirit of the law. Affirmative Action ensures a vigorous work environment that contains a highly qualified workforce. Of course, not all administrators are hired directly into positions. Realignment, restructuring, redistribution of responsibilities, and a changing political and legal environment have resulted in employees being directly assigned to different roles. But in such situations, a continuing effort is made to utilize existing professional, managerial, and technical talent.

Provisions exist to ensure the periodic evaluation of all administrators, including the chief executive officer. However, the CNU Self-Study Surveys suggest that the subject of evaluation of administrators provokes much dissatisfaction from the instructional faculty. Clear provisions exist in the 1994 University Handbook for an annual evaluation of administrative faculty, yet nearly half of the faculty survey responses indicate disagreement with Faculty Self-Study statement 71 that "I have evaluated the administrators in my chain of command on an annual basis." Likewise, strong disagreement was registered by approximately 90 percent of the respondents to Statement 115 (chairs), Statement 116 (deans), Statement 117 (provost) and Statement 118 (president). Survey responses indicate that concern exists for anonymity and for an objective administrator assessment instrument similar to that used to evaluate instructional faculty. Staff responses show that most employees enjoy working for their supervisor and feel well treated by their supervisor. Nevertheless, no uniformly applied mechanism exists to capture these positive results on a regular basis. Administrative staff also report general satisfaction with the effectiveness of evaluation procedures. However, one-third of the responses indicated no formal evaluation procedures were used in their offices.

Overall, the CNU Self-Study Survey indicates deficiencies in the evaluation of administrators. Although progress has been made, evaluation has not been applied equally and uniformly. Given that the CNU Self-Study Survey indicates positive results in offices and organizations that employ an evaluation process, the advantages of having each administrator evaluated appear to far outweigh any perceived disadvantages.

RECOMMENDATION: CNU should establish a formal procedure for the annual evaluation of all administrative faculty except the president.

RECOMMENDATIONS

1. The Board of Visitors must consistently comply with its own and the Commission on Colleges' principle of separation of policy making from administration.
2. The Biology Department Advisory Committee should hold its initial meeting in the Fall semester, 1995.
3. CNU should establish a formal procedure for the annual evaluation of all administrative faculty except the president.

SOURCES CITED

- The By-Laws of the Board
- The Code of Virginia
- Draft of Strategic Plan for the University
- Interviews with board members, administrators, and the Faculty Senate president.
- Memo from the President to the Chair of the Undergraduate Curriculum Committee
- The Mission Statement for the University
- The Mission Statements for various advisory committees
- Restructuring Document for the University ("The Continuous University")
- University Catalog
- University Handbook, 1994
- University Handbook, 1995

6.2 Institutional Advancement

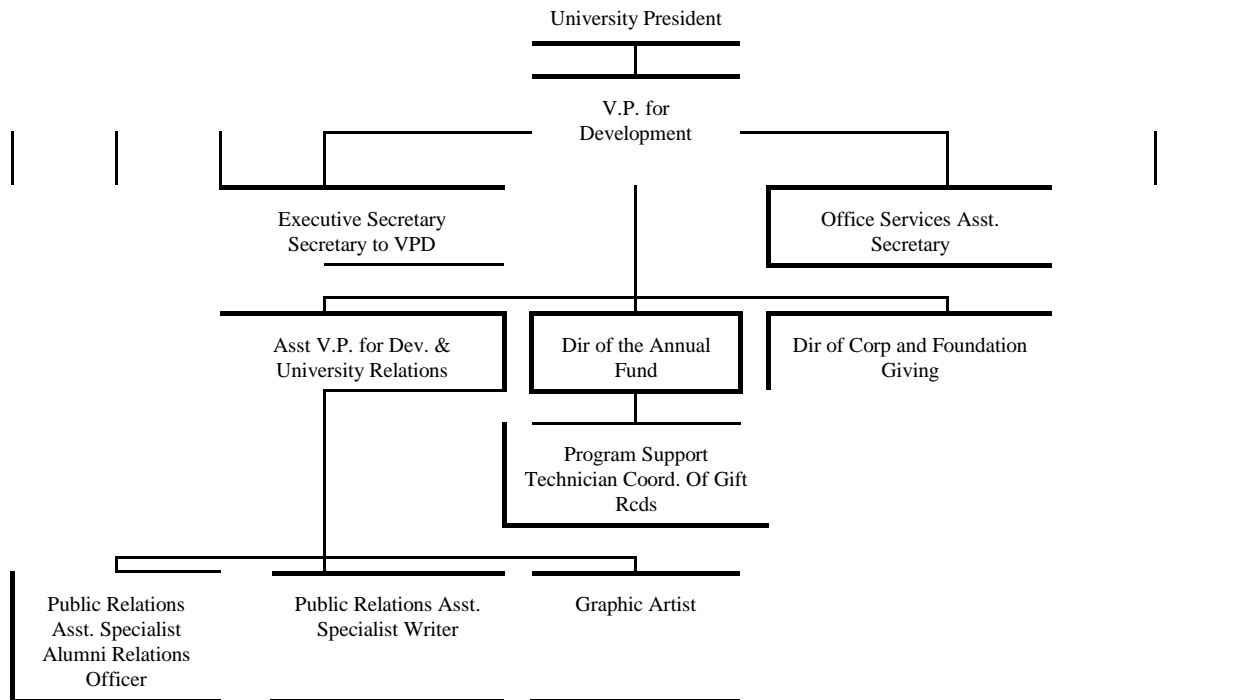
Christopher Newport University's Office of Development has, within the last few years, achieved the prominence and status appropriate to its function. To place this judgement in context, it is important to note that CNU did not have an office dedicated to development until 1984. From 1984 through 1992, the effectiveness and the level of funding for development were variable. In 1993, the University significantly increased both the funding and the status of the current Office of Development. However, based on the most recent Council for Advancement and Support of Education (CASE) study ("Expenditures in Fundraising, Alumni Relations, and Other Constituent Relations, 1990," by CASE and the National Association of College and University Business Officers) Christopher Newport University still spends a smaller percentage of its Educational and General Programs (E & G) budget on development activities (including expenditures for fundraising, public relations, and alumni relations) than many colleges and universities. Specifically, CNU's 1994-95 fiscal year budget of \$572,081 for development-related activities is 2.72 percent of its Educational and General Programs (E & G) budget. This compares to a mean of 4.02 percent for the colleges and universities in the CASE study. Still, as described below, the newly constituted Office of Development has been aggressive in building appropriate alumni and institutional relations, as well as in development and fundraising activities.

The Mission Statement of the Office of Development is brief and direct: "the Development Office's mission is to raise friends and funds to assist in accomplishing the mission of Christopher Newport University." An evaluation of the Development Office's many activities and programs clearly reveals its support of the mission of Christopher Newport University. Likewise, the Development Office's goals for fiscal year 1994-95, as well as its long-range goals, clearly do the same (see Sources 3 and 4).

With respect to structure, the chief administrator of the Office of Development has vice presidential status and reports directly to the president of the University. Working under the vice president for development are the assistant vice president for university relations and development, the director of corporate and foundation relations, and the director of the annual fund and special projects. In addition, as the following chart shows, several staff positions provide the support necessary to achieve the Office's objectives:

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Chart 6.2.A
Development Office
Organizational Chart
December, 1995



The Office of Development is administered by well-qualified persons with significant experience in their functional areas (see Source 5). Most noteworthy, the vice president for development has a Ph.D. in Educational Administration and Supervision and has previously served a major state university as director of corporate and foundation giving and, subsequently, as associate director of development services.

6.2.1 Alumni Affairs

Christopher Newport University's Office of Development actively encourages alumni to participate in the growth and development of the institution. For example, the Development Office has developed the program "Alumni After Hours" which involves representatives of Christopher Newport University visiting alumni residing in different regions. The purpose of "Alumni After Hours" is not specifically to raise funds but, rather, to inform CNU's alumni of the University's successes and challenges. This program has, overall, been successful with 30 to 50 alumni attending each event. The Development Office also sponsors an annual "Homecoming" for alumni and friends and has recently initiated a successful "Comedy Club." The Development Office coordinates an Alumni Society that meets six times each year. This Society has approximately 2,400 members with an elected governing board of 30. According to the

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Alumni Survey (AISv, Question 53), 75 percent of those giving an opinion are "satisfied with the programs offered by the Alumni Society."

The Development Office encourages former students to continue to participate in University affairs through a number of regular publications. For example, the principal publication of the Development Office, CNU News, a quarterly publication sent to all alumni, covers a wide range of topics of interest to alumni (see Source 6 for recent issues). In addition, all alumni receive the President's Newsletter on a periodic basis (see Source 6 for recent issues). Overall, the Development Office is effective in informing alumni about campus events and activities. Results of the Alumni Survey indicate that 68 percent of those giving an opinion agree that they are "kept informed about functions and activities at CNU" (AISv, Question 52).

Christopher Newport University has been, and continues to be, committed to gathering and assessing data about the careers of its graduates in the evaluation of its institutional goals. The principal instrument is the "Graduate Follow-up Report" sponsored by the University's Office of Career and Counseling Services, based on a carefully designed and comprehensive survey of CNU graduates two years after graduation. The survey asks job title, salary range, employment status, place of employment, whether the alumni are employed in fields related to their CNU majors, and whether they are in graduate school. In addition, the respondents rate their satisfaction with their educational experience at CNU, the quality of instruction, and the value of their major. The Office of Career and Counseling Services organizes this information by discipline and provides it to selected University personnel. This information contributes to the University's ongoing program review (i.e., assessment) process (see Source 8). However, the survey results are not routinely provided to deans or department chairs. Wider dissemination would be beneficial.

Similarly, Christopher Newport University regularly collects data relevant to institutional effectiveness. Specifically, CNU's Assessment and Evaluation unit sends its "Survey of Educational Gains" each year to individuals who were graduated one year and five years earlier. The wide range of questions about educational gains covers, for example, critical thinking skills, the ability to analyze and interpret information, the ability to write clearly and effectively, the ability to solve problems, the development of an ethical value system, developing an understanding of math concepts and science, and the ability to appreciate literature and the arts, as well as understanding society in historical perspective (see Source 8). Like the graduate follow-up survey, the results of the Survey of Educational Gains go to selected University personnel and inform the program review. But again, wider dissemination would be beneficial.

RECOMMENDATION: The results of both the Graduate Follow-up Survey and the Survey of Educational Gains should also be provided to the relevant deans and department chairs on a timely basis.

The Development Office effectively maintains up-to-date records on the locations of

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former students. Of the approximately 9,600 alumni of Christopher Newport University, the Development Office has addresses for 7,300, downloaded from the Office of the Registrar. After graduation rehearsal the Alumni Society sponsors a social event for graduating seniors. At this event the graduates are asked to provide their current addresses as well as the address of a close relative or friend with whom they will stay in contact. In addition to its efforts to maintain current addresses (e.g., through change of address cards included in the alumni publication CNU News), the Development Office updates its database every two to three years via electronic search and screening, purchasing databases and working with a publishing company.

6.2.2 Fundraising

To formalize and centralize fundraising, Christopher Newport University (then, College) created the Office of Development in 1984. Its effectiveness has varied over its history. Originally, the office was run by a director with a very small staff. Funding for the office was cut in 1989 in a university-wide effort to reduce the budget. By 1992 the Development Office had only an acting director and no staff. However, in 1993, funding was increased, the staff was expanded, and its head was elevated to the status of vice president. As a result, the Development Office has risen in the administrative organization, and fundraising has become much more important. The mission of the Development Office, "to raise friends and funds to assist in accomplishing the mission of Christopher Newport University," can now be pursued more effectively.

Improvements in the Development Office can already be observed. In 1992, the University received gifts (including cash, pledges, and gifts-in-kind) totaling \$386,445. In 1993, gifts totaled \$802,468. The Office has also developed more fundraising events, including an alumni phone/mail program and a faculty/staff campaign. The alumni phone/mail program raised \$50,000 in 1993 and attracted twice the participation of previous years, while the faculty/staff campaign produced a 50 percent response rate, putting CNU near the top statewide. In 1993, the Development Office elicited deferred gifts--a first for CNU--totalling \$534,900. In 1994, cash gifts, pledges, and gifts-in-kind totalled \$808,609. In addition, the University received deferred gift commitments in 1994 of \$530,000 (see Source 11 for recent financial statements). Specific goals have been set for this year, not only for solicitation but also for cultivation of donors.

It should also be noted that a major capital campaign is currently under consideration for 1996. Preliminary discussions have considered the feasibility of a \$7.5 to \$10 million goal. Consideration has been given to hiring a consultant to participate in a feasibility study. Although a schedule has been developed, no specific goals or objectives had been set when this report was written.

Results from the Self-Study surveys testify to the Office of Development's effectiveness. Of faculty surveyed, 50 percent agreed that fundraising efforts were related to CNU's purpose, 14

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percent disagreed, and 36 percent did not know (FcSv, Question 223). Undergraduate students expressed similar views, with 34 percent agreeing, 11 percent disagreeing, and the rest neutral (UgSv, Question 96). Of the alumni surveyed, 39 percent agreed that CNU demonstrated high standards of fundraising, 34 percent were neutral, 6 percent disagreed, and 21 percent indicated they could not rate or the question did not apply (AlSv, Question 55). A similar pattern holds for alumni satisfaction with disbursement of solicited funds. However, based on the results of the Steering Committee's surveys, it appears that fundraising is not fully understood by all constituencies. For example, 38 percent of alumni could not rate how funds are distributed at CNU (AlSv, Question 56). As for the faculty, 65 percent do not know if fundraising is incorporated into the University's planning process (FcSv, Question 224). Thirty-seven percent of faculty do not know if CNU's fundraising activities enhance their teaching or professional activities (FcSv, Question 226).

The formal structure for the planning, evaluation, and analysis of the University's fundraising is set out in a policy manual updated in December 1994 (see Source 10). It specifies procedures used in fundraising to ensure compliance with University and state policies. The Development Office's reports on Purposes of Gifts and Grants show that the funds are spent appropriately (e.g., academics and capital improvements). Moreover, the goals and objectives of the Development Office are regularly evaluated at biannual retreats of the staff as well as biweekly meetings. The vice president for development reports regularly to the president, the Board of Visitors, and the Board of Directors of the Christopher Newport University Foundation. Moreover, this officer is a member of the Executive Planning Council (EPC), which is responsible for strategic planning.

Since 1993, the Office of Development has demonstrated its capacity for success; it has the knowledge, organization, and growth potential to raise funds for the University. But before it can fully succeed and become a more visible part of the University, it must overcome its history. Before 1993, the money the Office raised varied significantly from year to year and was, in general, not enough to become an integral part of the University's economic forecasts. Moreover, prior to the founding of EPC in September 1994, the Development Office was not formally involved in the planning processes of the University, and its goals were set informally by the president of the University and the Board of Visitors. As a result, the Development Office had no long-term goals for fundraising, and the money it raised was used only for short-term, informal purposes (e.g., the honors program, computer acquisitions, and student scholarships). These weaknesses in planning and evaluation of fundraising have been recognized, and the creation and formulation of EPC has begun to address them. Once under-funded and undervalued, the Development Office has now been positioned to play a much greater role in the University.

RECOMMENDATION: The University should fully integrate its development and fundraising activities into its long-range planning processes.

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RECOMMENDATION: The activities of the Development Office must be evaluated regularly in relation to the University's mission.

RECOMMENDATION: The Development Office's funding and staff levels should be evaluated by an outside consultant selected by The Budget Advisory Committee for University Planning.

RECOMMENDATION: The Development Office should take steps to disseminate and publicize its purposes and programs widely.

RECOMMENDATION: The Development Office should hire an outside consultant to assist in studying the feasibility of the capital campaign under consideration for 1996. If the decision is made to pursue the campaign, specific goals and objectives should be developed at the earliest opportunity and should include input from all campus constituencies.

RECOMMENDATIONS

1. The results of both the Graduate Follow-up Survey and the Survey of Educational Gains should also be provided to the relevant deans and department chairs on a timely basis.
2. The University should fully integrate its development and fundraising activities into its long-range planning processes.
3. The activities of the Development Office must be evaluated regularly in relation to the University's mission.
4. The Development Office's funding and staff levels should be evaluated by an outside consultant selected by The Budget Advisory Committee for University Planning.
5. The Development Office should take steps to disseminate and publicize its purposes and programs widely.
6. The Development Office should hire an outside consultant to assist in studying the feasibility of the capital campaign under consideration for 1996. If the decision is made to pursue the campaign, specific goals and objectives should be developed at the earliest opportunity and should include input from all campus constituencies.

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SOURCES CONSULTED

1. Office of Development Mission Statement
2. CNU Mission Statement
3. Office of Development Goals for FY 1994-95
4. Office of Development Long Range Goals
5. Office of Development Administrative Resumes
6. Publications
7. Office of Career and Counseling Services' Graduate Follow-up Survey
8. Office of Assessment's Survey of Educational Gains
9. Memoranda Relating to Compliance
10. Office of Development's Policy Manual
11. Recent Financial Statements for the Development Office

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6.3 Financial Resources

6.3.1 Financial Resources

On the whole, Christopher Newport University possesses sufficient financial resources to support its academic programs. In addition, its recent financial history demonstrates the financial stability essential for successful operation. These conclusions are evidenced by long-term trends in financial resources and by the current financial condition of the University.

The judgment that Christopher Newport possesses sufficient financial resources is based on comparisons of CNU financial data with normative information and with financial information from Christopher Newport's sister institutions in the Commonwealth of Virginia. One source of normative information is the Educational and General Programs Manual supplied by SACS. Data in the E&G Manual consist of summaries of financial information from member institutions. The data are grouped by institution degree level and FTE enrollment.

The group most similar to Christopher Newport consists of 26 master's degree institutions with FTE enrollment of more than 3,400. Master's degree institutions are those which offer bachelor's and master's degrees. CNU is compared to these institutions in Table 6.3.1.A. The latest edition of the E&G Manual is 1992 and contains financial information from the 1990-91 fiscal year. Therefore, when compared with current Christopher Newport information, the normative data below are adjusted to 1994 dollars.

Table 6.3.1.A compares CNU's E&G expenditure amounts and choices to other master's level institutions. Christopher Newport's expenditures per FTE fall slightly below that of similar schools (\$6,589 for CNU versus a median of \$6,772 for similar schools). CNU's expenditures reflect the institution's historic focus on teaching. While total expenditures are below the median, Christopher Newport has been able to spend more than the median on instruction and substantially more than the median on academic support. This is particularly true for library acquisitions, where CNU spends four times as much as similar schools.

Table 6.3.1.A

Comparison of E&G Expenditures per FTE with normative data from 26 Masters Degree Institutions with enrollment above 3400 Taken from SACS 1992 E&G Manual

Function of Expenditure	26 Masters 1990-91			26 Masters with 1993-94 Do			CNU 1993-94	Percentage of Total E&G	
	1st quartile	2nd quartile	3rd quartile	1st quartile	2nd quartile	3rd quartile		Median	CNU
Instruction	\$2,087	\$2,588	\$2,987	\$2,275	\$2,821	\$3,256	\$2,970	41.5	45.1
Research	65	118	414	71	129	451	233	1.8	3.5
Public Service	48	87	193	52	95	210	6	1.4	0.1
Academic Support	423	510	668	461	556	728	912	9.0	13.8
Library Acquisitions	62	102	276	68	111	301	447	1.8	6.8
Student Services	253	381	493	276	415	537	487	5.5	7.4

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Function of Expenditure	26 Masters 1990-91			26 Masters with 1993-94 Do			CNU 1993-94	Percentage of Total E&G	
	1st quartile	2nd quartile	3rd quartile	1st quartile	2nd quartile	3rd quartile		Median	CNU
Institutional Support	530	781	905	578	851	986	832	12.1	12.6
Plant	444	621	849	484	677	925	385	9.6	5.8
Scholarships & Fellowships	424	690	957	462	752	1,043	707	9.6	10.7
Mandatory Transfers	2	43	245	2	47	267	56	0.6	0.8
Non-Mandatory Transfers	-	71	190	-	77	207	-	1.2	0.0
TOTAL E&G	\$,353	\$6,213	\$7,998	\$5,835	\$6,772	\$8,718	\$6,589		

Table 6.3.1.A also reflects the University's conclusion that it does not have sufficient resources to spend E&G funds on public service. The table also highlights an area of concern: Christopher Newport's E&G expenditures on plant. Such expenditures typically cover the cost of operation and maintenance of the physical facilities. The level of plant expenditures suggests a possible problem since they fall below the first quartile for master's institutions. University officials admit that the E&G budget is insufficient to cover all plant costs. Nonetheless, they feel that total expenditures on plant are adequate since CNU uses income from auxiliary enterprises (i.e., the repairs and replacement portion of the comprehensive fee) to supplement the E&G plant expenditures.

The sufficiency of Christopher Newport's financial resources is partially supported by guidelines the Commonwealth has used to fund employee positions. In the 1980s the State of Virginia developed a model to determine the appropriate number of positions to be funded at each state college and university. The model was described in a document referred to as Appendix M. The types of degree programs and the fall and spring FTE enrollments of lower level, upper level, and graduate students were used to compute the position guidelines for each institution. Once the guidelines were established, the State attempted to fund each institution at 90 percent of those guidelines. In the early 1990s, as a result of a statewide revenue shortfall, Appendix M was dropped as a method for assigning funding, but it remains an objective standard for measuring the sufficiency of funded positions.

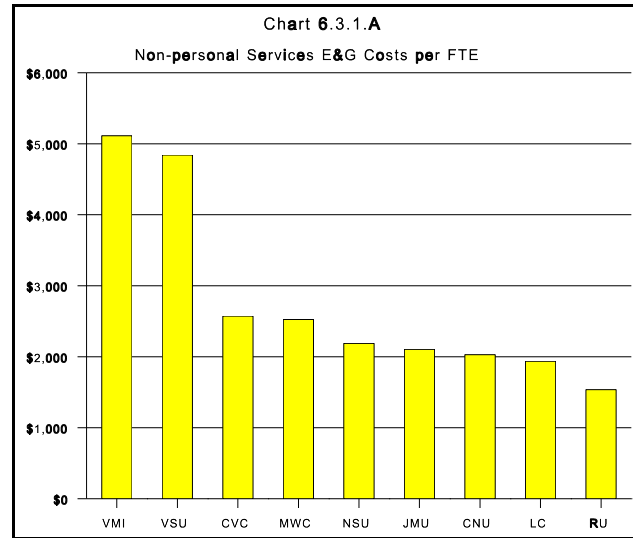
For the 1993-94 academic year, Table 6.3.1.B compares Christopher Newport's actual funded positions with the number of positions generated at 100 percent and 90 percent of Appendix M guidelines. Table 6.3.1.B shows 100 percent of guideline funding to be 406.47 positions and 90 percent of guideline funding to be 362.10 positions. The State actually funded 390.35 positions, which were 96 percent of guidelines. Clearly, based on the Appendix M guidelines the Commonwealth of Virginia considers Christopher Newport's funding of employee positions to be sufficient.

Table 6.3.1.B**COMPARISON OF FUNDED POSITIONS WITH APPENDIX M GUIDELINES FOR 1993-94 ACADEMIC YEAR**

Position Category	93-94 Actual Funding	100% Guidelines	Difference	90% Guidelines	Difference
Instruction:					
Faculty	214.54	229.28	(14.74)	206.36	8.18
Academic Support:					
Administrative	8.50	6.55	1.95	5.31	3.19
Classified	22.00	28.66	(6.66)	23.21	(1.21)
CE / RES / PS:*					
Faculty	1.81	1.81	0.00	1.81	0.00
Library:					
Administrative	8.00	9.77	(1.77)	8.59	(0.59)
Classified	13.00	14.66	(1.66)	12.89	0.11
Student Serv / Inst Support:					
Administrative	25.00	16.72	8.28	15.05	9.95
Classified	56.50	58.30	(1.80)	48.16	8.34
Logistical Support:					
Classified	11.00	11.00	0.00	11.00	0.00
Physical Plant:					
Classified	30.00	29.72	0.28	29.72	0.28
TOTAL Position	390.35	406.47	-16.12	362.10	28.25

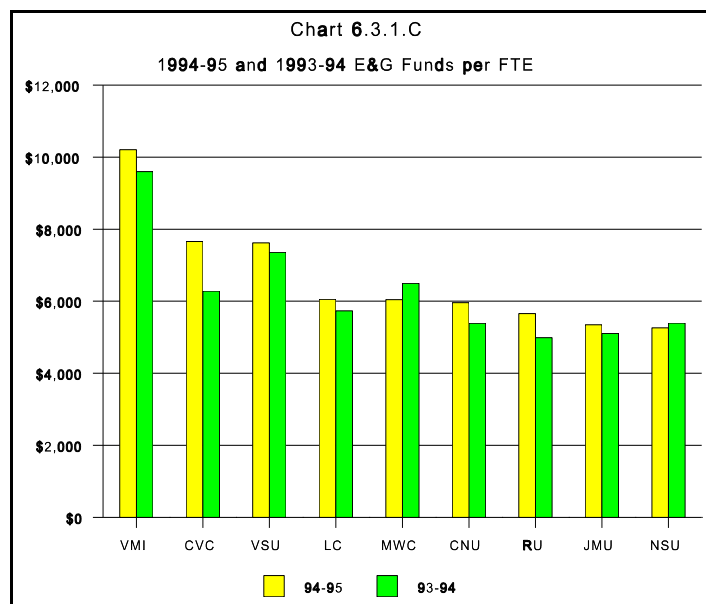
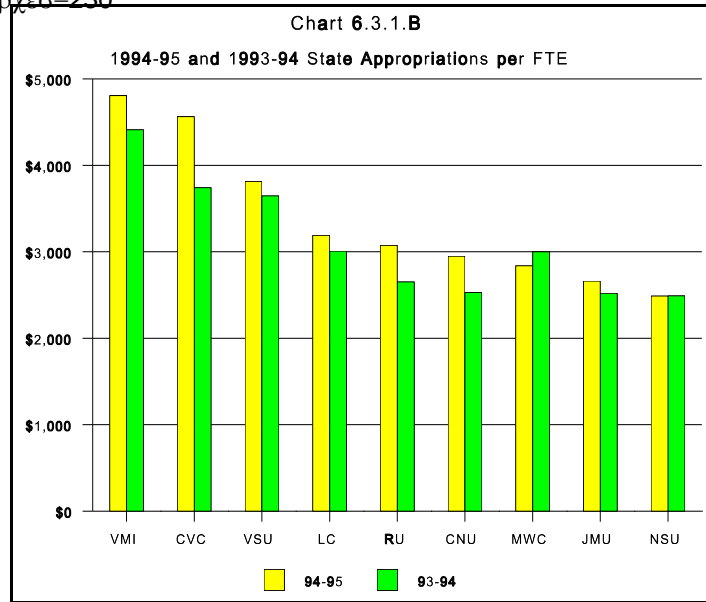
*CE/RES/PS is Continuing Education/Research/Public Service

The problem is that this analysis addresses only funded positions. It does not address the adequacy of funding for non-personal costs. One way to measure the adequacy of funding for those costs is to compare Christopher Newport's expenditures for such costs with other similar state supported institutions in Virginia. Chart 6.3.1.A presents 1993-94 "non-personal service" cost per FTE (excluding financial aid and transfers) for Virginia's nine comprehensive institutions. In addition to CNU the chart includes Clinch Valley College (CVC), James Madison University (JMU), Longwood College (LC), Mary Washington College (MWC), Norfolk State University (NSU), Radford University (RU), Virginia Military Institute (VMI), and Virginia State University (VSU). Chart 6.3.1.A reveals that Christopher Newport's E&G expenditures for "non-personal services" fall below the median for similar Virginia institutions. Nonetheless, CNU expenditures fall only 7 percent below the median school, but it spends 32 percent more per FTE than the school with the lowest "non-personal services" expenditures. Again, when compared with other institutions, Christopher Newport's funding appears adequate.



This analysis notwithstanding, there is a long-term and clear perception on campus that Christopher Newport University has insufficient financial resources to support its academic programs. Of faculty members responding to the Self-Study survey question with an opinion, 80 percent disagreed or strongly disagreed with the statement that the University provides the financial resources necessary to support all of its programs (FcSv, Question 143). Part of the problem is CNU's historical and continuing state appropriations level relative to other Commonwealth institutions. On campus it is common knowledge that since becoming independent Christopher Newport has consistently received the least funding per FTE of any of Virginia's four-year colleges or universities. Less well known is that the relatively low funding level applies only to in-state students. The Commonwealth appropriates no funds to any institution for out-of-state students. Christopher Newport has relatively few out-of-state students. When the State's contribution is spread over all students at the institution, CNU's appropriations are not substantially out of line with other similar Virginia schools. Based on total FTE's, Christopher Newport's funding is not the lowest in the state. Chart 6.3.1.B shows estimated 1994-95 and actual 1993-94 state funding per FTE for Virginia's nine state supported comprehensive universities. The chart provides evidence that CNU's relative state funding level may not be as great a problem as perceived.

Chart 6.3.1.C compares total E&G resources (state appropriations and tuition) per FTE for Virginia's nine comprehensive institutions. This chart gives additional evidence that, at least relative to other Virginia state institutions, CNU has adequate financial resources.



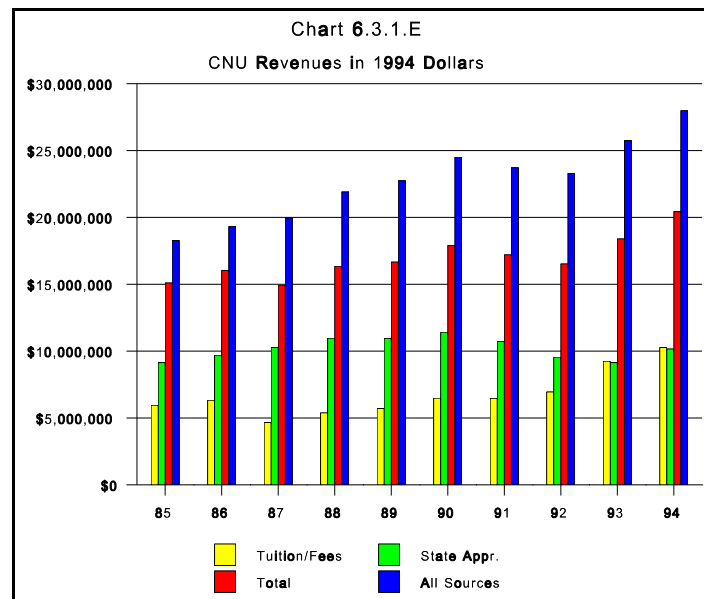
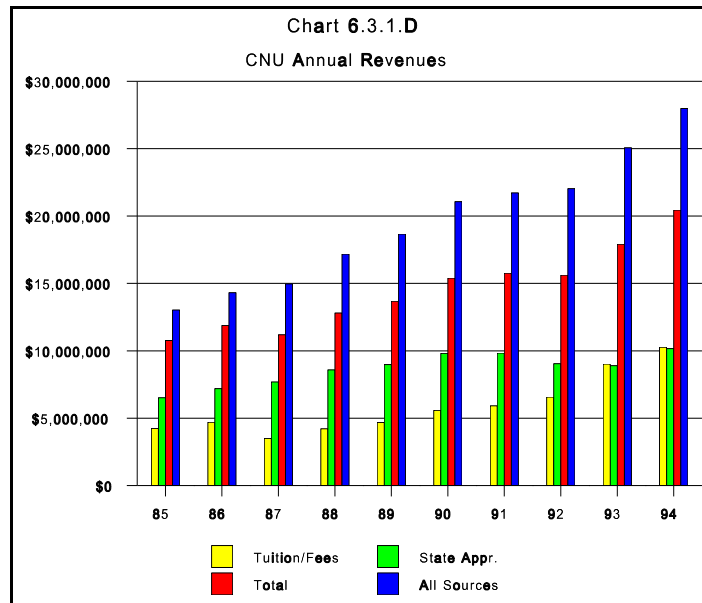
On the whole, then, CNU has the financial resources to support its programs. The overwhelming perception to the contrary on the part of faculty may be symptomatic of another problem. The cause of that perception appears to stem from two sources. The first is CNU's historically low level of funding, which administrators have used to argue for increased funding. With some justification, administrators cultivated the image of an impoverished stepchild. In

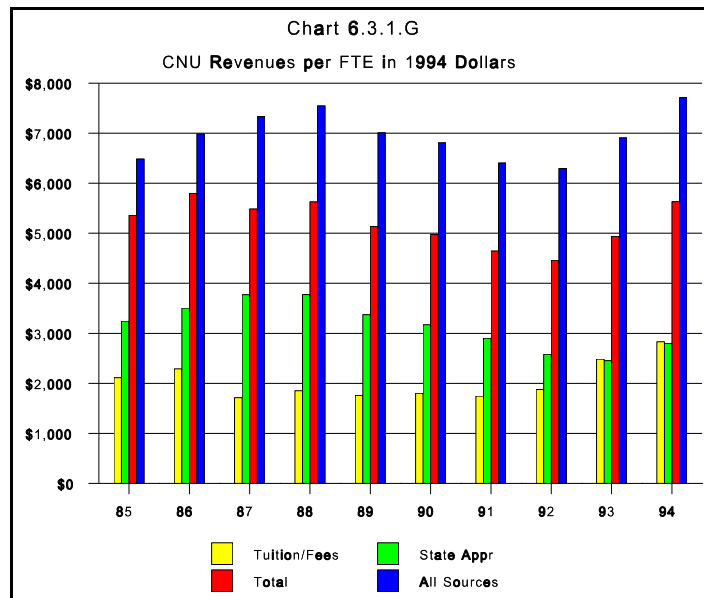
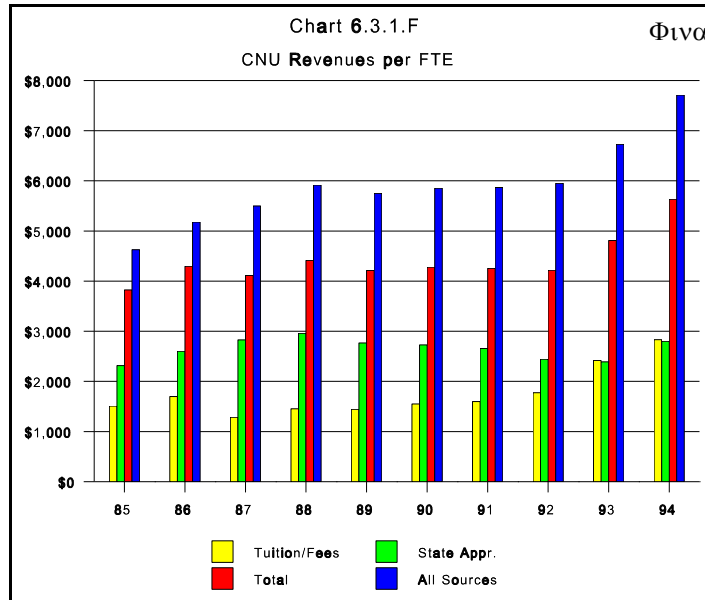
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recent years, however, there has been an improvement in the University's financial resources. While Christopher Newport's financial resources remain less than most other similar institutions, the difference is not substantial. The University cannot afford the extras, but it can afford the basics. Yet the image persists.

The second source of the perception is more important. With few exceptions, the faculty is not involved in or informed about important financial decisions or choices made by the institution. For example, the recently approved restructuring plan was prepared with limited faculty consultation and almost no participation. While faculty are advised of decisions after the fact, they often feel less than fully informed about the process for making the decisions or the rationale for them. The faculty's effective exclusion from this important function is not in the long-term interest of the institution. The faculty must have more opportunity for participation in the planning and budgeting process of the University. (See Section 6.3.3, Budget Planning, for recommendation.)

Although its revenue structure has changed in recent years, Christopher Newport University has a history of relative financial stability and an improving financial condition. Charts 6.3.1.D, 6.3.1.E, 6.3.1.F, and 6.3.1.G illustrate these trends. Each chart provides a ten-year history of revenues. Chart 6.3.1.D shows the annual nominal dollar (unadjusted) revenues from tuition and fees, state appropriations, combined tuition, fees and state appropriations, and all sources. Chart 6.3.1.E shows those same revenues in 1994 dollars. Chart 6.3.1.F chronicles nominal dollar revenues per full time equivalent student (FTE), and Chart 6.3.1.G shows the revenues per FTE in 1994 dollars. Total annual revenues have increased every year since 1985 (Chart 6.3.1.D). When those revenues are stated in 1994 dollars, however, they naturally tend to flatten out; nonetheless, there is still a trend of increasing revenues (Chart 6.3.1.E). A more important measure is revenues per FTE. Chart 6.3.1.F, presented in nominal dollars, shows a general trend of increasing revenue per full-time equivalent student. However, if tuition and fees and state appropriations are examined separately, total revenue from those sources appears relatively constant for most of the past ten years. Only in the most recent years have combined FTE revenues from tuition, fees, and state appropriations begun to increase. In addition, the composition of those revenues has seen a steady increase in tuition and fees accompanied by a decline in state appropriations. In constant dollars (Chart 6.3.1.G) total revenues per FTE have been relatively stable since 1985. Stability, however, has been achieved on the backs of the students. In 1994 dollars, the 1994 state appropriation per FTE was 25 percent less than the state contribution in 1987, while tuition and fees per FTE were 65 percent higher.





Since the early 1990s Christopher Newport's state funding for each year has been primarily based on the funding level of the preceding year. Significant increases to the base appropriations have generally required legislative amendments. These legislative amendments are designed to fund new activities, address changing conditions, or correct inequities. In recent years CNU has generally been unable to persuade the State Council of Higher Education of the need for a major increase in its base budget. In 1994, however, the State legislature decided that

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the situation needed correction, and CNU received a substantial base budget adjustment. The administration and local area legislators should be commended for their successful efforts in obtaining the most recent general fund (state appropriation) adjustment to CNU's base budget (\$1,050,000 for 1994-95 and an additional \$700,000 for 1995-96).

Although this adjustment is encouraging, the rapid increases in tuition in the early 1990s may have diminished the ability of many students and prospective students to attend Christopher Newport. In addition, the rates have preempted the University's discretion in setting comprehensive fees, among the lowest in the state. As a result, the fees do not cover the cost of major planned initiatives in recreation and health services designed to enhance the quality of student life on campus.

CNU should remain the affordable alternative that it has been in the past. Since the rapid increases in tuition that occurred in the early 1990s possibly continue to suppress enrollments, tuition should be rigidly controlled in the future. If necessary, more resources should be assigned to those areas that have the greatest potential to generate revenues to support academic programs, student services, and the physical plant. The University's ability to serve the community at a reasonable cost may benefit substantially from these efforts.

RECOMMENDATION: The University should increase its efforts to obtain donations, receive grants, and increase and protect state appropriations in order to support the educational and general programs.

CONCERNS

Like many colleges and universities, CNU is experiencing financial stress. Because of its limited access to some financial resources, however, CNU may have less ability to handle that stress than its sister state institutions. Although Christopher Newport's financial resources are minimally adequate, a confluence of factors argues for increased State funding.

One limitation faced by Christopher Newport is on tuition. While CNU's students are likely to be among those with the least ability to pay for college, CNU's in-state tuition is now above the average for comprehensive institutions in Virginia. Greater tuition increases are constrained by both the student's ability to pay and by recent State-imposed tuition caps.

A second limitation is on gifts. Since Christopher Newport is a relatively new institution (offering its first four-year degrees in 1971), it lacks sufficient alumni base to generate substantial contributions. Many of CNU's sister institutions, however, being much older, have developed a tradition of alumni giving. Such a tradition can be created at Christopher Newport, but substantial contributions are unlikely in the near future.

Christopher Newport is also limited in its ability to attract some grants. While the

University has had successful grant writing efforts, the State's historically black institutions receive substantial grant income for which CNU is not eligible.

Christopher Newport is also limited by its size. Because of the modest size of the institution, some costs are inherently high. Christopher Newport is not big enough to take advantage of the economies of scale available to larger institutions. A related problem is that Christopher Newport must provide services to 5,000 (head count) students when funding is received for only 3,700 FTEs. Those schools that are three to four times larger than CNU or have a smaller percentage of part-time students operate less expensively.

Those Virginia schools with enrollments equivalent to or smaller than CNU's are generally compensated with larger subsidies from the State. Thus, Christopher Newport receives the lowest amount of state funding per in-state FTE of any state supported four year school in Virginia. If CNU's 1994-95 per student funding had been increased to equal that of the next lowest funded institution, the University's state appropriation would have increase by 6.2 percent or \$661,000. Constraints on other potential sources of revenue make a funding adjustment the University's best opportunity to relieve its current financial stress and secure a successful future.

RECOMMENDATION: State funding of in-state students should be increased to a level comparable to similar institutions.

A recurring problem affecting CNU's financial stability is fluctuating enrollments and the difficulty in accurately projecting them. Since Christopher Newport admits all applicants who meet its minimum requirements, the institution has no control over the number who actually enroll. Nonetheless, it is important for the University to estimate accurately its enrollments in advance since the state appropriates money based on projected enrollments, and the University estimates tuition and fee revenue based on these projected enrollments. Revenue shortfalls can result from both overestimates or underestimates of enrollment. In 1994-95, overestimates of enrollment (particularly out-of-state students) produced a shortfall of \$927,304, about 4 percent of the entire E&G budget. Although shortfalls of this nature are infrequent, when they occur they not only have a disruptive and demoralizing effect on the entire University; they also cause reallocations of resources in ways that may not be in the best long-term interest of the institution.

For example, in 1994-95 the overestimation of enrollment caused the hiring of unneeded faculty whose salaries would have better been spent on equipment and library books. In addition, such problems create the appearance, if not the reality, of financial instability. While CNU's enrollment projections may never become so precise as to eliminate the possibility of a revenue shortfall, the University should pay closer attention to warning signs, such as early registration, and not make major new financial commitments until it is clear that the enrollment will support them. (See Section 6.3.3, Budget Planning, for recommendations.)

Retention has been a problem at Christopher Newport for many years. The 1994-95 under-estimated enrollment projection resulted partially from errors in the estimates of returning students. Better student retention would reduce enrollment fluctuations and make enrollment projections more reliable.

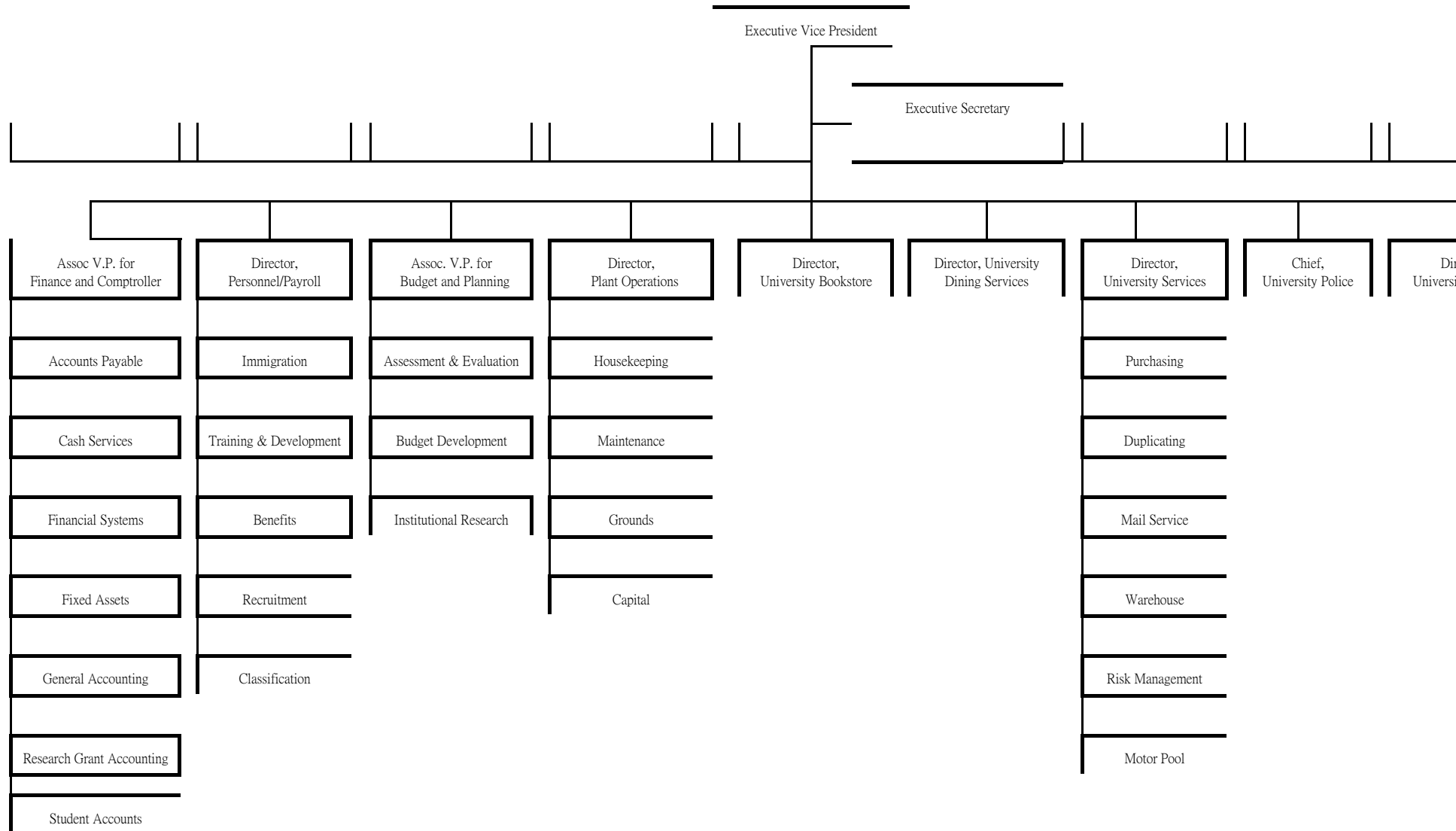
RECOMMENDATION: The University's enrollment management efforts should include steps to improve student retention.

In the Fall of 1994 Christopher Newport University opened its first residence hall, a 432-bed facility. Occupancy in the first year was slightly above 55 percent, threatening the reserve established in case of a contingency. Although there was fear that the University would need as much as half of the reserve, the debt service and utilities charges came in enough under budget that student room fees and comprehensive fee allocations covered operation of the dorm and debt service. Occupancy has increased significantly in 1995-96, easing the financial concern. Nonetheless, it revealed the fiscal vulnerability of the University and the importance of sound plans for contingencies.

6.3.2 Organization for the Administration of Financial Resources

The executive vice president, Christopher Newport University's chief financial officer, is responsible for all business and financial functions of the institution. As shown in the organization chart (Chart 6.3.2.A) the associate vice president for budget and planning, the comptroller, and the directors of personnel/payroll, plant operations, bookstore, dining services, and university services report directly to him. The University's Plan for Restructuring (approved December 20, 1994, by the State Council of Higher Education) shifted responsibility for the university police, parking administration, and facilities scheduling to the executive vice president as well.

CHART 6.3.2.A
ADMINISTRATION AND FINANCE



The vice president affirms that the design of the business office organization is "consistent with the purpose of the institution, the size of the institution and the volume of transactions of a business or financial nature," citing past audit reports as evidence. For example, in FY 91 and FY 92 the University received clean audits with no management points cited. (The two causes of management points are non-compliance with a federal, state, or University policy, or weakness in the internal controls.) According to the auditor of the public accounts, this "is very rare for an institution the size and complexity of CNU."

In FY 93, the last year audited to date, the university received only two management points, which were characterized by the auditor of public accounts as "insignificant" and neither of which related to the business and finance operation.

Further evidence of the institution's effective fiscal management is its meeting for six consecutive years--FY 1989 through FY 1994--the Management Standards established by the Commonwealth.

The executive vice president holds an MBA from the College of William and Mary, has had over twelve year's experience in business accounting and finance, and has additional training in handling educational business affairs through his participation in Association of Governing Boards seminars and through his professional activities as a member of the Council of Senior State Business Officers, the National Association of College and University Business Officers (NACUBO), and the East Coast Association of College and University Business Officers (ECACUBO). Additionally, he is a member of the Financial Advisory Committee for the Commonwealth of Virginia.

The executive vice president reports the status of the University's business affairs to the Board of Visitors at least eight times a year, at four executive sessions and at four regular quarterly meetings of the Board. Prior to each, he meets with each member of the finance committee to discuss the business of the University. The vice president reports at least bimonthly to the president of the University.

6.3.3 Budget Planning

A detailed budget for the University is prepared regularly. In recent years, two processes have been used: the biennial and the annual.

The president, vice presidents, and provost establish special academic initiatives to be funded in the biennium. The provost then meets with the deans to determine their needs. The deans are expected to have conferred with department chairs and appropriate faculty. However, seventy-two percent of the faculty who expressed an opinion in a survey in the fall of 1994 disagreed with the statement that "department chairs, faculty, and administrators have appropriate and sufficient input into the development of departmental budgets" (FcSv, Question 145).

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The biennial planning process is essentially a "top down" model, but the University's restructuring plan creates a new Budget Advisory Committee for University Planning (BACUP) to provide for a more inclusive planning process.

The annual planning process usually begins in the early spring when tuition and fees are set following the General Assembly's budget allocation session. Using the latest census figures and historical data to project enrollments for the coming term, the budget officers estimate anticipated revenues. When the actual revenues are calculated, usually only minor adjustments have to be made in the budget. The president presents the University budget each year to the Board of Visitors at its June meeting. In the fall of 1994, however, the actual revenues were more than \$900,000 short of the projections, requiring major adjustments. This shortfall created a great deal of concern on the campus, causing some to question the budget planning process. A special faculty meeting was scheduled to explain the shortfall. The budget officers explained that the primary cause was overestimating the number of out-of-state students. Given the increased efforts on behalf of the admissions staff to recruit out-of-state students in anticipation of the opening of the new residence hall in the fall of 1994, a projection for more out-of-state students was, perhaps, not unreasonable. However, the projection was for an increase of more than 50 percent over 1993, an estimate which, in retrospect, was unreasonably high. Out-of-state enrollments actually declined by 7 percent.

The shortfall, while obviously very serious, was not expected to result in major cuts beyond the spring 1995 semester. The budget officers indicated that future revenue projections will be more conservative than in the past to prevent future crises of this nature.

In the last six years or so, there has been little discretion in how General Fund dollars are used because of legislative intent attached to specific appropriations. University budget and planning officers allocate the dollars according to that intent and then monitor the expenditures carefully to insure that the intent is upheld. However, they try to give academic departments as much flexibility as possible within the restrictions.

There are no formal procedures for evaluating the budget process. However, the associate vice president for budget and planning evaluates budget performance monthly and the Board of Visitors reviews it quarterly.

RECOMMENDATION: A participatory model for the budget planning process should be instituted.

RECOMMENDATION: A broad based standing committee for enrollment management should be formed to provide assistance to BACUP.

RECOMMENDATION: A biennial formal evaluation of the entire budget process should be part of the strategic planning process.

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As stated above, the president presents the University budget each year to the Board of Visitors at its June meeting.

6.3.4 Budget Control

Once the University budget has been approved, the Office of Budget and Planning maintains control over it, reviewing the budget monthly, and alerting the executive vice president to problems if necessary. A system of account flags alerts the Office of Budget and Planning if an account has been overspent, and the system can block additional expenditures.

The comptroller's office prepares and distributes monthly budget printouts to account managers. Most faculty who responded to a recent survey (FcSv, Question 146), however, do not consider the reports to be "simple, accurate, timely and effective tools for chairs and administrators to use in monitoring their budgets."

The budget and planning officers monitor the university budget throughout the fiscal year and make necessary adjustments, notifying the account managers of such action.

RECOMMENDATION: Budget printouts should be made more comprehensible.

RECOMMENDATION: Training sessions for account managers in the interpretation and use of monthly budget reports should be made available.

RECOMMENDATION: Account managers should be provided online access to current account status.

6.3.5 The Relation of an Institution to External Budgetary Control

As stated in the Handbook, the Board of Visitors is the governing body of the institution and, as such, "shall control and expend the funds of the University and any appropriation hereafter provided; control all real estate and personal property of the University; make all needful rules and regulations concerning the University; appoint the President, who shall be its chief executive officer, and all teachers; fix their salaries; provide for the employment of other personnel as required, and generally direct the affairs of the University." Thus, once funds have been appropriated by the General Assembly control of the institution's business affairs is limited to officers within the University.

6.3.6 Accounting, Reporting and Auditing

The University's accounting system is based on generally accepted accounting principles and is consistent with the recommendations of the National Association of College and

University Business Officers (NACUBO) and the AICPA guide Audits of Colleges and Universities. To ensure that the University adheres to accepted accounting principles as well as state and federal regulations, the Commonwealth Auditor of Public Accounts conducts annual audits. These auditors have no personal or professional connection with the University. They report to the auditor of public accounts under the secretary of finance for the Commonwealth of Virginia.

The executive vice president provides regular and as-needed reports on the University's financial condition to institutional administrators, the Board of Visitors, and various Virginia state agencies.

The University maintains an active internal audit office which audits all phases of operations based on an assessment of the risk inherent in each activity. These audits complement the annual audit by the auditor of public accounts, representing the Commonwealth auditing office.

6.3.7 Purchasing and Inventory Control

The Purchasing Department strives to obtain quality goods and services necessary to the daily operation of the University at reasonable costs, at the right time and place, and in the right quantity in compliance with the Virginia Public Procurement Act and the Agency Procurement and Surplus Property Manual. To do so, Purchasing has the following responsibilities:

1. obtain maximum value for purchasing dollars spent by using competitive bidding,
2. protect public tax dollars from excesses by promoting fair and open competition,
3. encourage purchases from minority-owned businesses in an equally competitive manner,
4. administer a central stores/property control system,
5. manage a central receiving area for receipt and inspection of delivered goods,
6. operate a central contracting office.

In keeping with the public trust vested in this institution, procurements are carried out in an effective, economical, open, fair, and impartial manner. Authority relating to the purchase of goods, services, construction, insurance, storage activities, and disposal required by any activity of this agency (bookstore, library, athletics, research, plants, security, etc.), regardless of fund source, is exercised by the director of purchasing under the provisions of the Virginia Public Procurement Act, the Agency Procurement and Surplus Property Manual, and written instructions issued by the purchasing director's office, including the "Purchasing Desk Guide, May 1994."

State agencies have been delegated authority by the Department of General Services, Division of Purchases and Supply (DGS/DPS) to purchase directly goods up to a dollar threshold

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of \$5,000, utilizing the policies and procedures set forth in the Agency Procurement and Surplus Property Manual. As an extension of this authority the University's purchasing director may delegate procurement authority in written form to each department for limited purchases within predetermined dollar threshold amounts. This is normally \$200, but an increase may be requested for up to \$750 by completing a request form for increased delegated authority which is submitted to the director of university services for final approval.

In addition, the University maintains inventory accountability of all fixed assets assigned to its control and purview. Inventory management and control is vested in the Purchasing Department where detailed records are kept.

To control fixed assets and avoid duplication of purchases, a formal process screens procurement assets with a cost of \$5,000 or more prior to submission of a purchase order. This process is outlined in the FAACS (Fixed Assets Accounting and Control System) Manual.

Officials are protected from improper pressures from external interests by the Virginia Public Procurement Act (1983) and the State and Local Government Conflict of Interest Act (1987). Both acts are summarized in the Ethics/Conflict of Interest section of the CNU "Purchasing Desk Guide, 1994."

6.3.8 Refund Policy

Resolution E-2, "Refund Policy for Tuition and Fees and Room and Board," was adopted by the University's Board of Visitors on April 12, 1994. The refund policy for tuition and fees is clearly stated in the 1994-95 Catalog and in the fall 1994 Registration News. The policy is adhered to by the University and is similar to the refund policies of other state institutions of higher education. The tuition and comprehensive fee refund policies for the Fall and Spring terms are as follows:

- 100 percent for any course dropped on or before the last business day before the beginning of the academic term or for any course which is canceled by the University;
- 75 percent for any course dropped on the first day of the academic term through the end of the first week;
- 50 percent for any course dropped during the second, third, and fourth week of the academic term, after which time there is no refund;
- Registration fees and application fees are non-refundable; applied music fees are non-refundable after the first day of scheduled lessons with the instructor.

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Similar policies have been established for each summer term.

The 1994-95 Catalog contains, on page 53, a section on residence hall financial information that includes a statement on refund policy. The statement printed in the Catalog, however, is not complete. Room and Board fees are refunded for the Fall and Spring terms as follows:

- Students who notify the University on or before June 1 (Fall term) or November 1 (Spring term) will receive a 100 percent refund of the \$200 housing deposit;
- Students who notify the University on or before July 1 (Fall term) or December 1 (Spring term) will receive a 50 percent refund of the \$200 housing deposit;
- Students who notify the University after July 1 (Fall term) or December 1 (Spring term) will forfeit the \$200 housing deposit;
- Students who are denied admission to the University will receive a refund of the \$200 housing deposit.
- Students who cancel their contract after occupancy, but who remain enrolled at the University will remain liable for the entire room and board fees for the term;
- Students who cancel their contract after occupancy for reasons of graduation, academic dismissal, illness, transfer, or extenuating circumstances beyond their control will be charged room and board fees for weeks in residence.
- Students who are required to leave the residence hall for disciplinary reasons will remain liable for the entire room and board fees for the term.
- Students who are required to leave the residence hall for failure to meet financial obligations under the terms of the contract will be charged for weeks in residence and assessed a \$300 cancellation fee.
- The University may terminate the contract if, in the opinion of the director of university housing, the room or residence hall should become untenable because of damage or destruction by fire or other causality. In such case, the student will be charged room and board fees for weeks in residence.

RECOMMENDATION: Complete residence hall refund policies should be printed in the University Catalog and all related publications.

6.3.9 Cashiering

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The assistant vice president for finance and comptroller, who reports to the executive vice president, oversees cashiering.

The State's auditor of public accounts attests to a suitable organization and adequate procedures for the management of all funds belonging to the University.

The staff involved with cashiering follow all appropriate policies and procedures as detailed in the Commonwealth Accounting Procedures and Policy Manual (CAPP). Further, the comptroller issues occasional internal policy memoranda on such activities as check cashing through State petty cash, student accounts/cash services, records retention, collections procedures, and deposits of collections.

The Commonwealth of Virginia, through its Department of General Services, Division of Risk Management, maintains self-insurance programs. The employees of the University are covered under the Commonwealth of Virginia, Faithful Performance of Duty Bond, Self-Insurance Plan. All employees are bonded to \$500,000, for any one event or interrelated series of events, or to the position limits set in the Code of Virginia, whichever is higher.

6.3.10 Investment Management

On October 24, 1990, the Board of Visitors of the University adopted a revised investment policy that required rescinding a previous investment policy passed by the Board in February 1987.

The Board of Visitors reserves the right to utilize the services of external investment advisors to assist in the management of the University's portfolio at such times as it is considered necessary by the Investment Committee. The services to be provided by investment advisors shall be specified in written agreements.

Not more than 10 percent of the portfolio will be concentrated in any particular industry unless approved by the Investment Committee.

Investments directly in any foreign country, other than American Depository Receipts (ADR's) and Canadians, will be made only if specifically authorized by the executive vice president and the Investment Committee.

The portfolio will be invested in accordance with the following diversification guidelines:

Cash and short-term securities	0-50%
Bonds	0-40%
Common Stocks	0-70%

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(These guidelines allow the University to participate in Strategic Asset Allocation Pools, which consist of stocks, bonds, and short-term securities.) Not less than 30 percent nor more than 70 percent of the portfolio shall be invested in fixed income securities.

The investment policy adopted by the Board of Visitors is administered under the supervision of the executive vice president and, in turn, the president.

The University operates its portfolio using the concept of "pooled funds." Funds other than those needed for current cash flow requirements, those exempted by Federal and State laws, and those exempted by a donor's specific designations, are pooled in aggregate investment instruments. Allocation of the earnings of the pool is made on the adjusted pro-rata share of membership in the pool. Earnings on endowment are distributed to the appropriate income account for that endowment. Earnings on local University funds are distributed to a general interest earned account to be expended in accordance with Board policy.

The University comptroller, under the supervision of the executive vice president and, in turn, the president is accountable to the Board of Visitors for implementing this policy. The University makes a written report to the Finance and Development Committee on the status of the portfolio, and the committee reports to the Board of Visitors.

Investment policies and guidelines are evaluated regularly by the Board of Visitors. The executive vice president briefs members of the Board about the policies, and new members receive the current information in their orientation materials.

6.3.11 Risk Management and Insurance

Christopher Newport University participates in the comprehensive risk management program administrated by the Commonwealth of Virginia's Department of General Services, Division of Risk Management. The State provides self-insurance for physical damage to real and personal property including vehicles, employee dishonesty, and liability of directors, officers, board members, employees, and agents of the Commonwealth and its agencies while acting in an authorized capacity in the scope of employment or authorization. Property insurance is generally subject to a \$1,000 deductible. New properties are immediately added to the insurance coverage, and insured replacement values are updated annually. University personnel and independent contractors periodically inspect all property for safety problems.

6.3.12 Auxiliary Enterprises

Prior to the 1994-95 academic year Christopher Newport University operated three auxiliary enterprises: University Bookstore, Intercollegiate Athletics, and Auxiliary Support (which is primarily the Campus Center). With the 1994 opening of the residence hall, the University created two new auxiliary enterprise units: University Housing and Dining Services.

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Except for the University Bookstore, all financial records for auxiliary enterprises are maintained by the University Comptroller. Financial records for the Bookstore are maintained locally at the Bookstore. All five auxiliary enterprises are held to the same standards for financial control and disclosure as other parts of the University, all are subject to review by the internal auditor, all are covered by the audit of the Auditor of Public Accounts of Virginia, and the results of their operations are included in the University's annual report.

RECOMMENDATIONS

1. The University should increase its efforts to obtain donations, receive grants, and increase and protect state appropriations in order to support the educational and general programs.
2. State funding of in-state students should be increased to a level comparable to similar institutions.
3. The University's enrollment management efforts should include steps to improve student retention.
4. A participatory model for the budget planning process should be instituted.
5. A broad based standing committee for enrollment management should be formed to provide assistance to BACUP.
6. A biennial formal evaluation of the entire budget process should be part of the strategic planning process.
7. Budget printouts should be made more comprehensible.
8. Training sessions for account managers in the interpretation and use of monthly budget reports should be made available.
9. Account managers should be provided online access to current account status.
10. Complete residence hall refund policies should be printed in the University Catalog and all related publications.

SOURCES CITED

- CNU appropriations 1989-90 - 1994-95
- CNU audit report for year ended 6/30/95
- CNU financial statements for year ended 6/30/95
- CNU revenue sources 1988-89 - 1992-93
- Fall 1994 Resident Hall Student Report
- Investment Policy of CNU dated 10/24/90 (BOV policy)
- Job description of VP for Administration and Finance (Fall, 1994)
- Mission statement for Administration and Finance (Fall, 1994)
- NASM visitors' report for accreditation of Music program (3/94)
- Organization Chart for Administration and Finance (obsolete - Fall, 1994)
- Organization Chart for Administration and Finance (Current)
- Out-of-State Tuition Analysis 1994-95, 1995-96
- Refund of tuition and fees policy dated 4/12/94 (BOV policy)
- Repeal of Executive Order on Divestment of Firms Operation in South Africa dated 10/1/93
- University operating budget for 1994-95
- University operating budget for 1993-94

6.4 Physical Resources

Christopher Newport University, on a 75-acre tract central to the City of Newport News, is surrounded on one side by the Warwick Boulevard commercial corridor and on the other sides by residential areas. In addition to the buildings on the main campus, the University owns four residences adjacent to the campus (976 Moore's Lane, 210 Prince Drew Lane, 216 Prince Drew Lane, and 26 Shoe Lane) and the president's residence (812 Riverside Drive). Recently, the University acquired Ferguson High School, at the southeast corner of Warwick Boulevard and Shoe Lane, for use starting in the fall of 1996. As the analysis below explains, except in the cases of research laboratory and library space, the physical resources of the University are adequate to fulfill its mission.

The 14 buildings on the main campus are mostly situated around quadrangles or courtyards, with parking and service facilities behind the buildings. Much of the open space is lawn, though some is wooded areas and gardens. The architecture, unified with repetition of materials and line, is simple and pleasing.

6.4.1 Space Management

Class Space

The University has 26, 812 square feet of classroom space, 92 percent of the space necessary to support enrollment for the 1994-1995 academic year (Chart 6.4.1.A). Counting the space in Ferguson High School, 138 percent of the University's current space needs are met, so the small deficiency in classroom space should be remedied when Ferguson is occupied in 1996 (Chart 6.4.1.B). Generally, undergraduate students feel that classroom space and lighting are satisfactory. In response to the Self-Study Survey, 91 percent said excellent, good, or adequate, and 9 percent said unsatisfactory (UgSv, Question 52). Also, 97 percent of the students indicated that housekeeping was excellent, good, or adequate (UgSv, Question 53). Seventy-six percent of the faculty respondents rated classrooms as good or fair, and 24 percent rated them as inadequate (FcSv, Question 102). Faculty gave high marks to housekeeping (91 percent said good, fair, or excellent), interior lighting (81 percent said excellent, fair, or good, and 19 percent responded inadequate), and control of exterior noise (68 percent fair to excellent and 32 percent inadequate); they were less positive about space adequacy (57 percent excellent, fair or good and 32 percent inadequate) and temperature control and ventilation (37 percent excellent, fair, or good and 63 percent inadequate) (FcSv, Questions 108, 105, 104, 106, 107). Inadequate temperature control and ventilation in the New Science Building has been a major problem for several years. Such conditions should improve considerably in the spring of 1996 after the New Science Building is renovated and a campus-wide chilling unit is installed.

Chart 6.4.1.A

Space Inventory and Projected Space Needs 1994-1995									
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
E&G Assignable Space Categories	Projected Space Needs for 1994-95	Space in Inventory as of Fall 1994	Space being built, Funded for construction or Acquisition	Inventory plus Space being built, Funded for Construction or Acquisition	Space to be lost through Demolition or Termination	Space Lost through Renovation	Total Space Available	Additional Space needed by Planning Year	Percent of Space available by Guide
Classroom	29,005	25,659	1,153	26,812			26,812	2,194	92%
Class Laboratories	23,678	28,309	800	29,109			29,109	(5,431)	123%
Instructional Faculty Office	32,213	35,359	1,036	36,395			36,395	(4,182)	113%
Library	48,066	23,707	15,574	39,281			39,281	8,785	82%
Physical Education	27,840	20,363		20,363			20,363	7,477	73%
Open Laboratories	5,123	7,008		7,008			7,008	(1,885)	137%
General Use (Other Inst.)	13,920	13,196		13,196			13,196	724	95%
Research Faculty Office	1,238	595		595			595	643	48%
Non-Class Lab (Research)	4,750	3,067		3,067			3,067	1,683	65%
Administrative & General Office	16,281	21,550		21,550			21,550	(5,268)	132%
Physical Plant Operations	15,325	10,204		10,204			10,204	5,121	67%
Non-Office Admin. & General	5,066	4,222		4,222			4,222	844	83%
Total	222,506	193,239	18,562	211,801	0	0	211,801	10,705	

Explanation of Columns:

- (1) The first column shows the amount of space the University justifies based upon guidelines published by SCHEV and applying approved enrollment estimates for 1994-95.
- (2) This column represents the Official* E&G Room Inventory for Fall 1994. Auxiliary Enterprise space is not included within this column. The inventory includes all space owned or leased by the University as E&G space.
- * The Library space reflects the actual inventory before renovations or construction of the addition were begun. The official inventory shows this space as non-assignable, but for the purposes of this spreadsheet the square feet are being included.
- (3) This column includes new space built, funded for construction, or funded for purchase (Library Addition, Science Building Renovation, 76 Moores Lane).
- (4) This column is self-explanatory.
- (5)&(6) These columns reflect the space lost as a consequence of the activities in column 3.
- (7) The sum of columns 4, 5, and 6. This figure represents all available space to be considered when projecting future space needs.
- (8) The difference between column 1 and column 7. This column shows the amounts of space by guide the University justifies.
- (9) This column reports the percentage by category of space the University has available for the 1994-95 planning year.

Chart 6.4.1.B

Space Inventory and Projected Space Needs 1994-1995									
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
E&G Assignable Space Categories	Projected Space Needs for 1994-95	Space in Inventory as of Fall 1994	Space being built, Funded for construction or Acquisition	Inventory plus Space being built, Funded for Construction or Acquisition	Space to be lost through Demolition or Termination	Space Lost through Renovation	Total Space Available	Additional Space needed by Planning Year	Percent of Space available by Guide
Classroom	29,005	25,659	16,737	42,396	(2,129)	(302)	39,965	(10,960)	138%
Class Laboratories	23,678	28,309	13,476	41,785		(1,609)	40,176	(16,498)	170%
Instructional Faculty Office	32,213	35,359	18,308	53,667	(13,170)	(4,839)	35,658	(3,445)	111%
Library	48,066	23,707	15,574	39,281			39,281	8,785	82%
Physical Education	27,840	20,363	33,305	53,668	(20,363)		33,305	(5,465)	120%
Open Laboratories	5,123	7,008	8,094	15,102	(1,400)	(1,124)	12,578	(7,455)	246%
General Use (Other Inst.)	13,920	13,196	3,951	17,147	(490)	537	17,194	(3,274)	124%
Research Faculty Office	1,238	595		595			595	643	48%
Non-Class Lab (Research)	4,750	3,067		3,067			3,067	1,683	65%
Administrative & General Office	16,282	21,550		21,550		6,582	28,132	(11,850)	173%
Physical Plant Operations	15,325	10,204		10,204		128	10,332	4,993	67%
Non-Office Admin. & General	5,066	4,222		4,222		627	4,849	217	96%
Total	222,506	193,239	109,445	302,684	(37,552)	0	265,132	(42,626)	

Explanation of Columns:

- (1) The first column shows the amount of space the University justifies based upon guidelines published by SCHEV and applying approved enrollment estimates for 1994-95.
- (2) This column represents the Official* E&G Room Inventory for Fall 1994. Auxiliary Enterprise space is not included within this column. The inventory includes all space owned or leased by the University as E&G space.
- * The Library space reflects the actual inventory before renovations or construction of the addition were begun. The official inventory shows this space as non-assignable, but for the purposes of this spreadsheet the square feet are being included.
- (3) This column includes new space built, funded for construction, or funded for acquisition (Ferguson H.S., Library Addition, Science Building Renovation, 76 Moores Lane).
- (4) This column is self-explanatory.
- (5) & (6) These columns reflect the space lost as a consequence of the activities in column 3. The Ferguson H.S. acquisition includes termination of leased space, changes in allocation of current space between categories and the change in the allocation of dormitory and Ratcliffe Gymnasium to Auxiliary Enterprises.
- (7) The sum of columns 4, 5, and 6. This figure represents all available space to be considered when projecting future space needs.
- (8) The difference between column 1 and column 7. This column shows the amount of space by guide the University justifies.
- (9) This column reports the percentage by category of space the University has available for the 1994-95 planning year.

Faculty Office and Research Space

In the Faculty Survey 75 percent of those responding rated their office space as good, fair, or excellent (FcSv, Question 84). Although the University has 113 percent of the instructional office space recommended by SCHEV guidelines (Chart 6.4.1.A), much is in the Crestar Bank building leased by the University, in trailers, or in dormitory rooms not yet occupied by students. The offices that are located off the main campus are not readily accessible to students. Access should improve substantially, however, once Ferguson High School is renovated and occupied.

Space assigned to research faculty offices and non-class labs appears to fall substantially below the amounts recommended by SCHEV guidelines. The University is identified as having only 48 percent of the research faculty office space required (Chart 6.4.1.A). SCHEV guidelines are based on formulas which consider the number of research faculty, the number of graduate students, the amount of grants received, and other factors. This statistic highlights a nonexistent problem, since the only two research faculty members work off campus and do not need campus office space. Faculty offices, which can be used for research, are classified as instructional space. Thus, there seems to be no shortage of research faculty office space.

Non-class (research) labs, though, meet only 65 percent of current needs (Chart 6.4.1.A). Faculty and graduate students use such space for research not related to specific classes. The shortage is of particular concern since it occurs at a time when several new science graduate programs are being initiated and when pressures are rising on science faculty to be involved in research. Since this situation is likely only to worsen, the shortage of non-class research labs must be addressed.

RECOMMENDATION: The University should create more research lab space.

Parking Space

The parking lots of the University are located behind the buildings in the peripheral areas; therefore, they are not visually obtrusive. The University maintains approximately 1,800 parking spaces for faculty, staff, and students. When the Student Survey was taken, 60 percent of the respondents rated parking excellent, good, or adequate and 40 percent rated it unsatisfactory (UgSv, Question 43). The Faculty Survey rated the parking situation a little better: 78 percent of the respondents said excellent, good, or fair and 22 percent said inadequate (FcSv, Question 87). In the Administrative Survey 92 percent rated parking as excellent, good, or fair (AdSv, Question 73).

Since these surveys were taken, the University has hard surfaced 645 parking spaces, including 200 additional spaces. In addition, a loop road, giving better access to the campus and its parking has been completed. These improvements should alleviate many of the problems evident in the surveys. The University has improved lighting in the parking lots and installed security stations where individuals can quickly summon security guards in cases of emergency. The committee that oversees parking recently reassigned parking areas for the handicapped, faculty, staff, and students. Also, walkways leading from the parking areas have been improved. As a result of the recent improvements, the amount and quality of parking is now excellent.

Class Laboratories

In the Student Survey 95 percent of the respondents rated laboratories as excellent, good, or fair (UgSv, Question 44). Sixty-five percent of the faculty rated the labs as excellent, good, or fair, and 35 percent rated them as inadequate (FcSv, Question 89). The University has 123 percent of the classroom laboratory space recommended by SCHEV guidelines (Chart 6.4.1.A), and after Ferguson High School is occupied by the University it could have much more. The extremely poor ventilation, acoustics, and lighting in the Science Building should be greatly improved after the extensive renovation and expansion that is currently underway is completed. On the whole, then, laboratories seem more than adequate.

Computing Facilities

The University maintains computer laboratories for student use in most classroom buildings on the campus and in the dormitory. In the Student Survey 89 percent of the respondents rated these facilities as excellent, good, or adequate, and 11 percent rated them as unsatisfactory (UgSv, Question 42). Eighty-four percent of the faculty respondents rated the computing facilities as excellent, good, or fair, and 16 percent rated them as inadequate (FcSv, Question 86). Thus, computer facilities seem satisfactory.

Library Space

A recently completed addition to the Captain John Smith Library added 15,574 assignable square feet to the previous footage of 23,707, giving a total of 39,281 assignable square feet. Along with the addition there was a complete renovation of the entire space, making it a pleasant and functional facility. In Virginia, funding for new library space is generally made on an as-needed basis. By the time any new addition is completed, it is usually inadequate. Thus, even with the library expansion, CNU has only 82 percent of the space recommended by SCHEV guidelines (48,066 square feet). In order to keep up with needs, the next addition should be started as soon as possible.

RECOMMENDATION: Funding for the next phase of the library expansion should be secured as soon as possible.

Bookstore

Adequate bookstore facilities operate in the Campus Center. In the Student Survey 95 percent rated the bookstore as adequate or better (UgSv, Question 41). Eighty-four percent of faculty respondents rated the bookstore as good or fair, and 16 percent rated it as inadequate (FcSv, Question 85). The University has plans to renovate and enlarge the bookstore.

Workspace

According to SACS guidelines, space allocated to any institutional function must be adequate for the effective conduct

of that function (Criteria, 64). There are areas where additional workspace or a different configuration of space would be welcome and beneficial, but, for the most part, the nature or size of existing workspace does not significantly impair the ability of college personnel to perform their major functions. There are exceptions, however.

Probably the greatest exception involves space for Fine and Performing Arts activities. A recent accreditation report on the music program identified its facilities as inadequate at best. The problem, however, is broader. Art studios are crowded and inadequate, and lecture halls are ill-equipped for the presentations required in art classes. The Gaines Theater has no handicapped accessible seating and needs important renovations to the lighting control system, the sound system, and the stage. There is no music rehearsal hall, theater rehearsal studio, lighting lab, black box theater, drafting room, or dance studio. There is very little space for scenery, costumes, and props. Clearly, solutions to such problems must figure strongly in the reallocation and reconfiguration of space resulting from the Ferguson move.

RECOMMENDATION: Committees planning the renovation and use of all space affected by the move to Ferguson High School should include substantial involvement by faculty and all other affected constituents.

Only 19 percent of the staff feel that there are adequate lounge areas (StSv, Question 26), and only 63 percent of them feel that their work areas are large enough (StSv, Question 21). Sixty-nine percent of the staff feel that they have insufficient and insecure storage facilities (StSv, Question 24). Sixty-four percent of the administrative and professional personnel feel that their storage accommodations are poor (AdSv, Question 79). The faculty indicates a problem with storage, with 43 percent rating storage as inadequate (FcSv, Question 96). Also, the faculty and staff have very little lounge space. The space added by the Ferguson move should resolve many of these problems.

Physical Plant Operations has only 67 percent of the space that it needs (Chart 6.4.1.A), and this figure is not projected to change after the occupancy of the Ferguson High School facility (Chart 6.4.1.B). There has been some discussion about moving the warehouse to Ferguson, but no decision has been made. Whether or not the warehouse is moved, it seems clear that more space will have to be allocated to Plant Operations.

RECOMMENDATION: In reallocating space resulting from the move to Ferguson High School, the University should assign more space to Plant Operations.

Common Space

Students seem pleased with their Campus Center. Ninety-five percent rate it as fair, good, or excellent (UgSv, Question 48). The John W. Gaines Theater, located in the Campus Center, also has high approval rates from the students, with 94 percent of students and 96 percent of faculty rating it fair, good, or excellent (UgSv, Question 51; FcSv, Question 77). But the campus lacks a facility large enough to seat large groups, like those present for graduation, which must of necessity be held outside. Such a space is planned for the proposed recreation complex.

RECOMMENDATION: A facility to accommodate large groups should be a component of any recreation complex.

There has also been support voiced for a performing arts center, for which a good case can be made. A center for performing arts, concerts, dance, and theater provides a forum for student artists, visiting professionals and the community to convene for academic and cultural activities. Enrichment to the students, the University, and the community can be both immediate and long-term. Activities sponsored by the University and open to the public can enhance the purpose of the institution, namely to discover, interpret, disseminate and apply knowledge for the benefit of society. The creative arts can be a strong bond between University and community. An appropriate facility would help accomplish this worthy goal. From time to time the University has given some consideration to the construction of a performing arts center, but the project has never been actively pursued. The idea, however, has sufficient merit to be considered again. Since the center would be a community asset, cooperation with groups in the local community is desirable. Nonetheless, such a facility will be most useful if located on the Christopher Newport Campus.

SUGGESTION: The University should consider the construction of a performing arts center in the development of its Master Site Plan.

Outdoor Areas

Students (UgSv, Question 54), faculty (FcSv, Question 109), and staff (StSv, Question 29) give extremely high ratings for the maintenance of the grounds and walkways. Also, 97 percent of the student respondents feel that campus signage is adequate to excellent (UgSv, Question 55), and the faculty agree (FcSv, Question 110). Ninety percent of the student respondents (UgSv, Question 49) feel that security provisions (personnel, lighting, equipment) are adequate to excellent (UgSv, Question 49). Ninety-five percent of the faculty feel that outdoor lighting is fair to excellent (FcSv, Question 94). Therefore, it seems clear that the University's outdoor areas please its constituents.

CONCERNS

Much of this report anticipates the acquisition of Ferguson High School. Ferguson is a sound building with a substantial amount of space; however, its configuration does not fit Christopher Newport's needs. Before the full benefit of that facility can be achieved, substantial renovations will be required. In addition, part of the existing campus will require renovation to accommodate relocating departments. CNU administrators have developed preliminary estimates of a capital request to SCHEV and the Virginia General Assembly. The early success of these efforts is critical to realize the educational potential of the campus.

RECOMMENDATION: Renovation funds related to the acquisition of Ferguson High School should be secured as soon as possible.

6.4.2 Buildings, Grounds and Equipment Maintenance

Christopher Newport University includes 14 buildings on a 75-acre, partially wooded campus. Responsibility

for the condition of the grounds and university buildings, their infrastructure, upkeep and maintenance lies with the Plant Operations Department, headed by director of plant operations. Plant Operations includes Maintenance.

A plan for the upkeep of CNU property has been instituted by the present director of plant operations. As required by the SACS standards, CNU has developed a plan for institutional maintenance which embraces long-term as well as annual and short-term maintenance projects. That plan includes capital projects, repair and replacement projects, and landscape and grounds projects, and is evaluated annually by the director of plant operations.

Capital Projects

Capital projects in 1995 include an infrastructure project to repair or replace heating, ventilation, and air conditioning (HVAC) equipment in several campus buildings at an approximate cost of \$4,000,000; a parking lot addition of 645 paved spaces and a roadway at an approximate cost of \$800,000; and enclosure of the exterior corridors of the Science Building with code compliant stairwells, new faculty offices and storage areas for chemicals at an approximate cost of \$1,000,000. In addition, extensive American Disabilities Act of 1990 (ADA) compliance alterations are planned for the Administration Building, Gosnold Hall, McMurran Hall, Ratcliffe Gymnasium, Smith Hall, Wingfield Hall, Ferguson, the Greenhouse, and the Services Building (approximate cost, excluding Ferguson, is \$273,000).

In addition, a comprehensive roof survey was completed by the director of plant operations, estimating usable life and costs of repair or replacement. The condition of the roofs of Ferguson, Smith Library, and Gosnold Hall range from poor to fair, and may require early repair or replacement.

Asbestos, present in a number of campus buildings, is treated on a case-by-case basis. As building repairs and construction renovation projects proceed, asbestos is removed. The presence of asbestos does not pose a threat to the health or safety of campus users but must be properly handled. There is currently no budget item for this work.

All underground storage tanks were removed from the campus in 1990 and no further action is required. Utility systems, such as water lines, are upgraded in conjunction with other capital improvements. Included in the parking lot project, for example, was a water line loop installation.

A number of university buildings, as noted in the architect's ADA report, will undergo minor renovations to achieve compliance with the Americans with Disabilities Act of 1990. While this work proceeds, it would be practical and logical to remedy any building code violations noted in the report.

A cursory visual inspection of the Administration Building revealed two obvious oversights with potentially dangerous consequences. First, the two elevators did not have a valid inspection certificate, though the problem has been corrected. The City of Newport News formerly handled such routine inspections, but no longer does so; therefore, the safety of the elevators should be certified by an official inspection immediately. Second, the tension on the door to the first floor women's restroom makes it difficult, if not impossible, for a disabled wheelchair-bound individual to open the door. Also, the

footing threshold, protruding above ½", impedes the wheels of a wheelchair. Both matters should be remedied with minimal cost and effort.

RECOMMENDATION: ADA compliance and building code compliance should be simultaneously achieved.

RECOMMENDATION: All elevators should be certified and inspected on a regular basis.

Repair and Replacement Projects

The director of plant operations has organized an effective charting system to audit the status of repair and replacement projects on the campus, including landscape maintenance, miscellaneous repairs, classroom furniture, emergency and exit lights, and large scale items such as the Greenhouse addition. Three departments under Plant Operations--Structural, Mechanical, and Grounds-- accomplish repair and replacement.

The Structural Department consists of carpenters, helpers, a locksmith, and a painter. Preventative maintenance is done yearly on doors, locks, and windows, and monthly on roofs. Other potential problems are identified in bi-monthly walk-throughs of each building by the director of plant operations and the structural supervisor. Potential problems in structure, painting, flooring, ceiling grid and tiles, and furniture are identified.

With available technology, CNU can increase the efficiency of the time required to report required repairs, breakdowns, and faulty equipment, by utilizing a campus-wide e-mail system with direct access to the Plant Operations Department. This system would quickly inform the Plant Operations Department of trouble, permit efficient monitoring, and allow the person reporting the trouble to receive acknowledgment of report.

The Mechanical Department consists of HVAC mechanics, assistants, electricians and plumbers. This department accomplishes scheduled maintenance such as HVAC filter changes, belt changes, air handler lubrication and inspections, chiller unit and boiler unit daily checks, oiling pumps and motors, and plumbing, electrical and generator care. Special requests for mechanical repairs or equipment replacement are handled through a work order request presented to the department.

SUGGESTION: Plant Operations should implement an on-line reporting system for any building repairs.

Landscape and Grounds Projects

Through the 1994-95 academic year, the Grounds Department had consisted of two full-time employees, who effectively maintained the grounds and cared for the grass, trees, and shrubs on campus.

With attractive lawns, shrubs, evergreen and deciduous trees, the 75-acre campus requires continuous care. As the University grows, especially with the Ferguson property adding approximately 28 acres, landscaping and grounds maintenance will become more demanding. There is a basic landscape plan, designed by faculty members with appropriate expertise, to

accommodate climatic needs of plants, flowers, and trees in Newport News, but the plan should be refined to encompass a timetable for routine maintenance, recommendations for pruning, and other horticultural details.

RECOMMENDATION: The landscape plan should include a seasonal maintenance schedule.

Two faculty members agreed to develop a schedule; however, the issue has become clouded in the summer of 1995, when the state-mandated restructuring resulted in privatization of grounds maintenance. The self-study committee had agreed that such a decision should be cost effective, and that a seasonal maintenance schedule appear in any agenda for bids. There was concern that the initiative for campus-wide beautification not be lost since it has a direct, immediate impact on potential students, their parents, and all visitors to campus. In fact, the committee feared that a private contractor would not match the exceptional level of satisfaction of faculty, students, and staff with the grounds (FcSv, Question 109; UgSv, Question 54; SfSv, Questions 29, 30; AdSv, Questions 66, 67).

RECOMMENDATION: Privatization of campus grounds maintenance should be reconsidered. If privatization is not cost effective, the grounds department should be reestablished.

6.4.3. Safety and Security

Christopher Newport University is concerned about the safety and welfare of all persons. To provide a safe, secure environment, the University has developed policies and procedures to ensure that every reasonable precaution is taken to protect people and property on campus. In addition, the University makes a Policies and Procedures Manual available to faculty, staff, and students.

The University operates a full-time, professionally-trained Police Department, serving 24 hours a day and seven days a week. This Police Department has been given such specific responsibilities as security, security-awareness, and crime prevention; building security and safety checks; and response to medical and other emergencies. The University Police Department annually publishes a brochure on campus safety and security, which is distributed to all students, faculty and staff.

The Office of Student Services, in collaboration with the academic Department of Nursing, is developing a comprehensive health services program for students, particularly students in the residence hall, and has established a health care facility.

The Virginia State department of OSHA annually evaluates all University operated buildings, and recommends maintenance, repairs and modifications appropriate for compliance with OSHA rules and regulations.

Each academic department that operates a laboratory using hazardous materials has a safety committee that establishes plans for the provision and use of adequate safety equipment and for responding to emergencies. The University Police Department oversees the activities of such committees, but does not have authority over them. There is no unit or office with overall responsibility for hazardous materials.

Available statistics indicate that crime has not been a significant problem at CNU, and emergencies, when they occurred, have been handled effectively. Notwithstanding these facts and the fact that all the requirements of the accreditation body on safety and security issues are either already in place at or have already begun to be addressed by the University, the management of safety and security issues at the University appears to lack coordination. While some plans are in place, there is no comprehensive safety and security plan, and there is no overall management structure designed to coordinate safety and security activities. An appropriate safety and security management structure needs to be installed.

A single office or individual should be assigned administrative responsibility for the safety and security plan. This office should coordinate activities of the Police Department with other offices responsible for any parts of the plan. In addition, this office should manage the training of persons handling hazardous materials, as well as with conducting fire drills and other emergency evacuation. This office could also be responsible for preserving physical assets through periodic facility inspections, fire protection engineering, and correction of safety hazards.

RECOMMENDATION: A comprehensive safety and security plan must be developed and regularly evaluated.

RECOMMENDATION: The University should centralize administrative responsibility for coordinating safety and security activities.

6.4.4 Facilities Master Plan

Christopher Newport maintains a written physical facilities master plan--the Master Site Plan. The most recent version to receive full State approval was prepared by Forrest Coile and Associates in June 1981. A Board of Visitors-approved revision was completed by the same firm on August 1, 1991. That plan includes the main campus and the Ferguson site. The University was authorized by the State to prepare a new comprehensive Master Site Plan as of July 1, 1995; subsequently, \$200,000 was appropriated.

The most recent Site Plan (Chart 6.4.4.A) revision was prepared with limited objectives. The Building and Grounds Committee coordinated the Plan. Very few others on campus were consulted. The primary accomplishment was to inventory facilities. While the plan includes current and some planned locations of campus buildings, roads, parking lots, sidewalks, utilities, lighting, recreational fields and facilities, wooded areas, and adjacent properties, it contains problems. For example, it includes a new classroom and faculty office building which is clearly not needed. The biggest problem, however, is that while it delineates the future boundaries of the University, it does not identify a use for most of the properties to be acquired. In addition, except for the location of a few major structures, the Plan does not provide much guidance for the future use of property currently held.

The delay in the development of a more comprehensive plan resulted at least in part from uncertainty surrounding the acquisition of Ferguson High School. Ferguson was not on the 1981 Site Plan. When the high school appeared to become available, it was added to the 1991 revision. The transaction, however, required state appropriations, a taxpayer approved bond issue, and substantial negotiations among the City of Newport News, various State agencies, and the University.

Final approval for the purchase was not received until just weeks before the deal was finalized. Because of the uncertainty that existed in 1991, Ferguson was added in a rather piecemeal manner. The revised plan did not take into consideration how the property might change the physical facilities needs of the University.

Another reason for the delay in developing a new State-approved plan has been the fear of galvanizing opposition to the plan and the University in the community. Residents have strongly resisted University acquisitions of neighborhood properties. Community leaders have been so vocal that the University president has agreed not to initiate contact with owners about selling their property. As a result of these experiences, University officials have been hesitant to request approval of a plan which provides for the acquisition of adjacent properties.

The acquisition of Ferguson High School dramatically changes the physical resources of the University. Now that the Ferguson acquisition is complete, current and future physical facilities needs must be reevaluated and a new Master Site Plan must be developed. A broad base of University constituencies should have substantial involvement in the development of the plan, and recommendations should be solicited from the community. The finished plan must provide a clear, complete, and honest guide for future development.

RECOMMENDATION: The University should immediately proceed with the preparation of a new Master Site Plan. Appropriate levels of assistance should be secured from all parties with an interest in the outcome.

RECOMMENDATIONS

1. The University should create more research lab space.
2. Funding for the next phase of the library expansion should be secured as soon as possible.
3. Committees planning the renovation and use of all space affected by the move to Ferguson High School should include substantial involvement by faculty and all other affected constituents.
4. In reallocating space resulting from the move to Ferguson High School, the University should assign more space to Plant Operations.
5. A facility to accommodate large groups should be a component of any recreation complex.
6. The University should consider the construction of a performing arts center in the development of its Master Site Plan.
7. Renovation funds related to the acquisition of Ferguson High School should be secured as soon as possible.
8. ADA compliance and building code compliance should be simultaneously achieved.
9. All elevators should be certified and inspected on a regular basis.
10. The landscape plan should include a seasonal maintenance schedule.
11. Privatization of campus grounds maintenance should be reconsidered. If privatization is not cost effective, the vacant positions in the grounds department should be filled as soon as possible.
12. A comprehensive Safety and Security Plan must be developed and regularly evaluated.
13. The University should centralize administrative responsibility for coordinating safety and security activities.
14. The University should immediately proceed with the preparation of a new Master Site Plan. Appropriate levels of input and assistance should be secured from all parties with an interest in the outcome.

SUGGESTION

1. Plant Operations should implement an on-line reporting system for any building repairs.

SOURCES CONSULTED

- CNU Comprehensive ADA Study - Phase two summary
- Data regarding the roof conditions of 12 university buildings, including estimates of roof-life and projections of repair/replacement costs
- Data regarding plans for routine maintenance, preventative maintenance, deferred maintenance and equipment maintenance.
- Data regarding possible building code violations observed by visual inspection
- Landscape Master Plan
- Schedule of maintenance projects with status
- Site plan as of 8/1/91
- Table providing data regarding the square footage, year built, category of use and scheduled maintenance of each campus building
- Ten-year projection of capital outlay needs dated 9/22/94

6.5 Externally Funded Grants and Contracts

Policies governing externally related funds and contracts have ensured conformity of the funded activities with the stated mission of the University. The 36 current (Fall, '94) externally funded grants and contracts (see Appendix 4) conform to the Mission Statement which says that "...the University is committed to the search for truth, and dedicated to the discovery, interpretation, dissemination, and application of knowledge." Twenty of the extant grants and contracts involve the research and discovery of knowledge in the sciences (physics, computer science, chemistry, biology). Thirteen of the grants and contracts deal with the dissemination of knowledge through faculty consultation with various teacher institutes or state agencies such as tourism. Dissemination includes the support for the arts events (Ramseur Series and Opera Workshop) given by the Newport News Arts Commission. The remaining grants reflect the "application" of knowledge (e.g., the SBA Small Business Institute Program) or the kind of service activity that the Mission Statement encourages with the phrase "to become responsible and contributing members of society." Support for CNU students' work with the "An Achievable Dream"--an educational enrichment program for at-risk-of-failure students in grades 4-8--illustrates this kind of community involvement. All of the current externally funded grants and contracts conform to both the letter and the spirit of the CNU Mission Statement.

On a university-wide basis, the balance between teaching and externally funded grants and contracts is heavily weighted towards teaching. One of the long-term objectives formulated by Executive Planning Committee calls for strengthening the Office of Sponsored Programs to increase research activities, a goal consistent with the mission of the University. This goal also reflects the requirements for research by faculty who wish to be retained and promoted. It also reflects the judgment that, university-wide, the balance between teaching and research needs to be strengthened on the research side.

RECOMMENDATION: The University should give high priority to strengthening the Office of Sponsored Programs.

The freedom of the researcher is strongly implied, though not explicitly stated, in the responsibilities of the project director, which include "performing the proposed activity within the guidelines of the award." This phrase imposes limits on what the researcher can and cannot do: he or she can (and must) do the approved research and cannot refrain from doing it. Obviously, then, no interference in the research can be tolerated. Assuming that the "guidelines of the award" require a final report by the project director, the reporting of results is also guaranteed by present policies. In the Faculty Survey, 34 respondents agreed that "these policies adequately safeguard the researcher's freedom to investigate and report results." Only seven respondents disagreed, while 53 answered "don't know" (FcSv, Question 137). (In all the questions regarding externally funded grants and contracts, questions 134-138, there was a very high percentage of "don't know" answers, reflecting the fact that most faculty have had no experience with these grants and contracts.) The director of the Office of Sponsored Programs confirms that freedom of research and reporting has not been a problem at CNU. Stated policy and current practice are therefore adequate safeguards of that important freedom.

Regarding individual faculty members, current practice reflects an appropriate balance between externally funded projects and instruction, although the current practice needs to be formally stated in the Handbook. None of the current grants

and contracts absorbs the full time of a CNU faculty member. Twenty-three call for released time, although not all of them require it for the duration of the project. Thirteen grants and contracts require no released time. The current operative policy is that up to 50 percent released time is allowed if the project warrants it. More than this amount requires special justification and approval. In practice, therefore, there is a reasonable balance in the allocation of time between instruction and externally funded projects. In the Faculty Survey, 26 respondents agreed that current policy is an appropriate balance, but 20 respondents believed it to be inappropriate. Again, 48 responded, "don't know" (FcSv, Question 138). Regarding the balance between teaching responsibilities and externally funded activities, a clarification of policy is called for. The only current statement in the CNU Handbook that addresses this balance stipulates that the criterion for certifying a grant or contract is that the externally funded activity can be "carried out within the scope of the University's mission and the faculty member's responsibilities" (VII, 35). The Mission Statement puts "teaching and scholarship" together, so the implicit criterion is a mixture of the two, but the actual normative rule should be stated clearly, along with any known conditions for exceptions to the rule.

RECOMMENDATION: A policy governing the appropriate balance between a faculty member's normal professional obligations and activities associated with externally funded grants and contracts should be formulated and inserted in the University Handbook.

The University Handbook (Section VII.B.5.2, "Grants and Contracts") includes a general statement of the philosophy of CNU encouraging externally funded grants and contracts, procedures for approval and certification of them, responsibilities of the project director, fiscal management, and guidelines for research on human subjects. All faculty receive updated copies of the Handbook each year.

Policies related to summer salaries paid from contracts are spelled out in the Handbook section on grants and contracts entitled "Fiscal Management." This section governs salary and accompanying fringe benefits paid by grants and contracts, and summer salaries as well.

Regulations regarding fees for consultative services are addressed in another part of the Handbook (VII.A.12., "Outside Employment.") Section b. requires prior approval for such employment "from the Dean, Director, Vice President, or President, as appropriate." Approval is to be based on the consistency of the employment with "the performance of the University duties."

Policies pertaining to institutional control of the administration of research projects are spelled out in the sections dealing with the approval and certification of such projects, as well as the project director's responsibilities. The signatures of appropriate University officials on the cover sheet of the grant application indicates their judgment that "the project is feasible and can be carried out within the scope of the University's mission and the faculty member's responsibilities" (Handbook, VII, 32). The necessity of obtaining this approval is a reasonable safeguard against the University accepting any grant or contract over which it does not retain appropriate control.

Acquisition of research grants and contracts does not endanger ongoing support for general institutional activities by

absorbing undue financial resources. The state mandates 100 percent recovery of indirect costs for grants awarded to the University, and the Office of Sponsored Programs is financed by 25 percent of the Indirect Cost Recovery Fund (Fund 0303). Stipulations regarding financial management of externally funded grants and contracts, including support for the office of Sponsored Programs, appear in sections VII.B.5.2e. and f. of the Handbook.

The University's control of research and instruction is safeguarded by the requirement that all grants and contracts be certified to be consistent with the mission of the University and not interfere with the faculty member's other responsibilities. The policy clearly requires that the stated mission of the University provides the governing criteria for decisions about grants and contracts, thus obviating relationships in which the University's control of its activities could be compromised.

While CNU encourages research and external funding, it is not a major research university and the funds that go into the regular operating budget from Fund 0303 (c. \$30-60,000 per year) constitute a very small proportion of the instructional budget (c. \$11-12 million per year). Thus, the acquisition of research grants and contracts does not jeopardize general institutional activities. All contracts specify the periods of time to which the awards apply. In sum, the policies and practices described in this section guarantee there is no danger, now or in the foreseeable future, that the University's educational and general budget will become overly dependent on funds from grants and contracts.

RECOMMENDATIONS

1. The University should give high priority to strengthening the Office of Sponsored Programs.
2. A policy governing the appropriate balance between a faculty member's normal professional obligations and activities associated with externally funded grants and contracts should be formulated and inserted into the University Handbook.

SOURCES CITED

- Interviews with board members, administrators, and the Faculty Senate president
- The Mission Statement for the University
- Summary of Externally funded Grants and Contracts, fall, 1994
- University Handbook, 1994
- University Handbook, 1995

6.6 Related Corporate Entities

Christopher Newport University has a beneficial relationship with the Christopher Newport University Foundation (The Foundation) and the Christopher Newport Sailing Foundation (The Sailing Foundation).

The Christopher Newport University Foundation is a Section 501(c)(3) foundation, as classified by the Internal Revenue Service. It is a separately incorporated entity which relies upon additional funding to carry out its mission. The purpose of the Foundation, according to its by-laws, is to "render financial assistance to Christopher Newport University" and to "solicit, receive and hold *inter vivos* and testamentary gifts of real and personal property; to administer, invest, reinvest, change investments, and in all appropriate ways deal with said property and the increase thereof to the further accomplishments of its primary purpose." The Foundation follows the CASE Code of Ethics for Fundraisers.

The Board of Directors for the Foundation includes the following representatives from the University: the vice-president for development (who serves as president of the Foundation) and the University president. All directors serve without compensation. Documents related to this organization--Articles of Incorporation, By-Laws, Board of Directors, and an audited financial report for the year ending June 30, 1994--exist for audit and other purposes.

While the Foundation has adequate reporting mechanisms in place for reporting income obtained from gifts received for specific departments to those departments on campus, it was found that this procedure was not followed on a consistent basis. More timely reporting is called for.

RECOMMENDATION: The vice president for development should ensure that prompt reports of collected funds be made to those departments for which the funds are earmarked. The report should include funds from the CNU Educational Foundation.

The Christopher Newport Sailing Foundation is also a separately incorporated 501(c)(3) foundation. The Articles of Incorporation state that one of the purposes of the Sailing Foundation is to "promote intercollegiate sailing" (Article VII). It does this by funding the purchase of boats that the CNU Sailing Team uses to race in intercollegiate competition. The Sailing Team has been nationally ranked in NCAA competition. The Board of Trustees of the Sailing Foundation includes the dean of the College of Science and Technology as executive director and an associate professor of physics and computer science as secretary/treasurer, neither of whom receives compensation for service. Documents related to this organization--Articles of Incorporation, By-Laws, Board of Directors, and a 990 EZ tax return (1993)--exist. The Sailing Foundation is an autonomous organization, with no known irregularities. Nonetheless, its records should include regular audits, which should be submitted to the executive vice president.

RECOMMENDATION: The Christopher Newport Sailing Foundation should provide a copy of the annual financial audit report to the University.

RECOMMENDATIONS

1. The vice-president for development should ensure that prompt reports of collected funds be made to those departments for which the funds are earmarked. The report should include funds from the CNU Educational Foundation.
2. The Christopher Newport Sailing Foundation should provide a copy of the annual financial audit report to the University.

SOURCES CITED

- Christopher Newport Sailing Foundation 990 EZ tax return (1993)
- Christopher Newport Sailing Foundation Articles of Incorporation and By-Laws
- Christopher Newport University Educational Foundation Articles of Incorporation (January 6, 1992)
- Christopher Newport University Educational Foundation audited financial report for the year ending June 30, 1994
- Christopher Newport University Educational Foundation By-Laws (June 16, 1993)
- Christopher Newport University Educational Foundation Board of Directors (November 1994)
- Interview with board members, administrators, and the Faculty Senate president