

Criterion 2

Introduction

Preparing for the Future: The organization's allocation of resources and its processes for planning and evaluation demonstrate its capacity to fulfill its mission, improve the quality of its education, and respond to future challenges and opportunities.

Institutional Strengths and Challenges Enumerated As a Result of the Previous Accreditation Process

As has been previously noted, the report of the 2003 comprehensive evaluation visit team to Illinois Wesleyan University, submitted to the Higher Learning Commission, included a list of significant institutional strengths. Team members commented upon the talent, ability and dedication of all university constituencies including faculty, staff, administrators, and students. The high quality of the physical plant, the institution's strong record of enrollment management, a significant level of information technology services and equipment available to campus members, the institution's history of continually balancing its yearly budget, its commitment to follow a multi-year budget planning model, and its successful fundraising efforts, were all listed as being noteworthy. At the same time, concerns were raised with regard to the shortage of staff to adequately manage expanding institutional activities, substandard morale issues among faculty, and the need to address the perception that decision-making was occurring hierarchically in a top-down fashion. In addition, the team noted with uncommon prescience the fact that multi-year budget planning was based upon extremely optimistic assumptions with undue reliance upon deferred gift maturation. It further warned of the long-term impact of the precipitous 36% decline of the university endowment in the aftermath of the dot.com crisis of 2002-2003 (from \$213 to \$136 million), relative to the size of the operating budget.

IWU's own self-study report, *Growth and Challenge*, prepared in advance of the team visit, enunciated a number of the views articulated by the team. With regard to human resources, members of the self-study, while noting the excellence and dedication of faculty and staff, agreed that faculty salaries and benefits needed to be improved and that new strategies to encourage greater faculty diversity needed to be employed. They noted that an improved system of shared governance facilitating better communication needed to be instituted, and a staff development program needed to be implemented. Concerns regarding faculty work-load and its potential effects upon recruitment and retention were voiced, an extension of tuition benefits for staff children and dependents was recommended, and the team voiced a strong belief that a plan to reduce staff stress had to be developed.

The authors of the *Growth and Challenge* report were additionally concerned about deficiencies in classroom and office spaces and the need to address maintenance and repair issues. The lack of accessibility of older structures for disabled members of the

university community was noted as was the lack of a child-care facility for faculty and staff. In addition, the importance of implementing components of the campus Master Plan, including the construction of a new School of Theatre Arts building and the renovation of facilities where the School of Art is housed, was noted. Finally, the steering committee members commented upon the fact that faculty sought to play a larger role in budgetary planning and suggested that attention to rising health care costs would need to be addressed in the immediate future. Members were particularly concerned with the need to significantly increase the university endowment and annual fund, so as to positively address those issues of concern mentioned above in a substantive fashion.

Revising the Institutional Mission and Building the Strategic Planning Process

Since 2003, the record of institutional progress in addressing these issues while building upon existing strengths is generally strong albeit with a few caveats. There are specific changes that have occurred, for example, that speak directly to the issues involving institutional planning, resource allocation, and planning assessment. Effective institutional planning has been enhanced through the creation of formal organizational structures including the positions of Assistant Vice President for Institutional Research, Planning and Evaluation, Dean of Enrollment Management, Director of Academic Advising, and Associate Dean of the Curriculum. At the same time, a strategic planning advisory committee developed into a permanent and important campus-wide committee, the Strategic Planning and Budgeting Committee, while the University Council on Diversity was created to coordinate campus-wide diversity initiatives. In addition, the long-standing faculty Council on University Programs and Policy began playing an increasingly active role in partaking in shared governance, with respect to advising the Provost about tenure-line distribution, revising the criteria for the allocation of tenure lines, expanding contact with members of the Board of Trustees, and working with the Interim Provost to create a task force that helped revise equity and promotion allocations among the tenure-line and adjunct faculty.

These structural changes need to be viewed within a larger context. The institutional mission statement was revised so as to address those long-held values that have 21st century salience, including stated commitments to prepare students to be conversant with the need to further social justice and sustainability, while acquiring the competencies to function successfully within a global society. The strategic planning process further evolved as a way of offering concrete support for the campus mission. Our current strategic plan was developed from discussions that began in 2003-2004 and culminated in an extensive document that includes six distinct goals and five to six enumerated strategies for each goal. Goals III (Human Resources), IV (Diversity), and VI (Financial Resources) speak directly to the planning and resource issues that form the focus for criterion 2 of this self-study report. Suffice it to conclude that institutional planning is inclusive and draws upon the expertise of all major university stakeholders. However, we continue to confront the challenge of effectively communicating the reasons and rationales for those decisions that affect major constituencies, and we need to use the planning architecture already in place to more successfully address the continuing challenges of resource acquisition, allocation and distribution in proactive rather than reactive ways.

Enhancing Financial Health through Shared Sacrifice

During a decade where North Americans have witnessed the greatest economic recession since the great depression of the 1930s, it is clear that the financial stability of Illinois Wesleyan University is strong and that it continues to utilize the resources necessary for the successful fulfillment of its mission. Indeed, the record since 2003 is one where the university has successfully launched a capital campaign designed to augment and enhance human resource development and has, in following its Master Plan, completed and/or embarked upon a number of capital projects that will positively influence campus life in all of its domains. The university endowment, in spite of some notable bumps in the road, has recovered significantly from its nadir in 2002-03.

In addition, the university has been able to maintain its strong academic profile, and remains a small liberal arts institution of high quality that is able to successfully compete for students with peer and aspirant counterparts that evoke considerable national prestige. Extremely high retention percentages verify the fact that students find Illinois Wesleyan University a place where they believe that their needs can be met. At the same time, the student body has become noticeably more diverse, both domestically and internationally. The size of the tenure-line faculty and the staff have basically stayed constant, while a significant number of visiting faculty positions have been converted to tenure-line status. And, the university has been able to hire a number of new faculty over the past few years who bring added energy, talent and expertise to the professoriate.

However, these achievements have come at the cost of considerable shared sacrifice on the part of the university community. When confronted with declining endowment performance and lower than expected student enrollment for the fall of 2009, along with the pressures that arose as a result of bond indebtedness, faculty and staff salaries were frozen for 2009-2010 and 2010-2011, with a 1% raise allocated for 2011-2012. Retirement compensation was drastically reduced by 50%. Earlier, in the late spring of 2009, a plan to substitute a defined retiree health care benefit plan with a defined contribution plan was enacted so as to reduce the institution's unfunded liability. Nonetheless, for faculty and staff with a longevity of service to the university or those who came to the university in mid-career, expecting to have the terms of their health care continue onto retirement, this was a difficult decision to accept.

Unlike some other institutions experiencing similar financial pressures, no furlough days were given to either faculty or staff during the 2009-2010 academic year, and while a hiring freeze was put in place for that year, there was no reduction in force demanded of staff or faculty. Furlough days were viewed as salary cuts, unacceptable during the economic downturn. In addition, the elimination of existing staff and/or faculty positions would have meant rejecting the values and concerns articulated in previous planning documents that reiterated the importance of expanding human resource capacity on the campus in support of our mission and the values embedded within it. Such an option was also rejected because, although the university confronted serious financial challenges of an immediate nature, its long-term health was not threatened. Indeed, it should be parenthetically noted that there is multi-year budget modeling in place that seeks to ameliorate the salary and compensation cuts that have been enacted over the past few years. Thus, in the midst of severe economic pressure resulting from the recession,

Illinois Wesleyan's record is one whereby no University employee has lost her or his position because of financial circumstances affecting the institution. At the same time, the University became more financially secure than it was a decade ago. Although such success has been achieved as a result of considerable collective sacrifice, which should not be minimized, the IWU story is compelling according to its own terms and in comparison with more general higher education trends.

Looking Forward: Future Challenges

However, as we look to the future, it is clear that additional resources will have to be secured in order to adequately address future institutional needs. Some of our future challenges include expanding the financial aid budget while limiting tuition and fee increases so as to make IWU more affordable for a student body whose families are increasingly less affluent; implementing strategies that will address current shortcomings in compensation allocations to staff and faculty; increasing the number of support staff in need areas; increasing the size of the university annual fund and increasing the number and percentage of alumni who offer monetary support for the university; successfully completing the *Transforming Lives* capital campaign; and expanding the allocation of resources so as to enhance the use of technology on the campus, a demonstrated strength of the university a decade ago, but a significant current and ongoing challenge.

The planning and decision-making process that is required to successfully address these challenges necessarily requires an assessment system that is flexible, efficient, and responsive to changing realities. Such a system is in place at the institutional level and within various academic and administrative units. Decision-makers have access to a myriad of survey data, gathered by the Assistant Vice President for Institutional Research, Evaluation, and Planning on a consistent basis. To cite one example, five different surveys of student attitudes are regularly conducted bi-annually. The university has revised and recalibrated the peer/aspirant group of institutions with which it regularly compares, so as to better assess its own institutional strengths and challenges within a broader higher education environment, and all academic and administrative units participate in yearly reviews, where their performance is assessed. Academic departments and programs now conduct external reviews of their operations; data gathered from the institution's auditors is regularly shared with members of the President's cabinet, the university Vice-Presidents, and members of the Board of Trustees. In addition, the President's cabinet regularly participates in annual retreats, where agenda setting and a prioritization of yearly objectives is determined on a consensual basis.

It is clear that Illinois Wesleyan is deeply committed to and highly values strategic planning, that it works to secure and allocate the resources necessary to achieve its goals, and that it uses assessment information as a means of evaluating its success in meeting its goals and objectives. It is also clear that while the planning and assessment processes are in place so as to allow for future growth, the university will need to directly confront a number of contemporary and future challenges that are easily identifiable, if it is to achieve and sustain long-term success. In the following pages, we will expand upon these themes so as to offer a more comprehensive view of the ways in which we are attempting to plan for the future, secure the necessary resources in order to successfully do so, and

honestly assess our strengths and challenges, while continuously aligning our policies with our institutional mission and strategic plan.

2a. The organization realistically prepares for a future shaped by multiple societal and economic trends.

The planning process at Illinois Wesleyan University is noteworthy for its comprehensiveness and complexity. It is comprehensive insofar as it involves all of the major units, decision-makers, and their constituencies; it is complex insofar as it demands that those decision-makers evaluate data from numerous internal as well as external sources. They must of course, balance the institutional needs for immediate and short-term responses to pressing issues without compromising long-term planning objectives and in so doing, it is incumbent upon those charged with policy-making responsibility to operate with a strong degree of transparency. They solicit alternative perspectives from relevant stakeholders, communicate the reasons for specific decisions to the entire campus community, and seek feedback to assess the consequences of their decisions while continuously re-evaluating the decision-making process. In this section, we analyze the ways in which the budgeting process occurs and then describe how environmental scanning is used as a means of gathering useful data to be used in the planning process. We then examine how planning influences decision-making with regard to student recruitment and enrollment management policies and examine the ways in which the endowment and capital campaign are managed. The University's physical resources are evaluated according to a Master Plan that is part of the strategic planning process, and the evolution of planning efforts in this area is also noted. Finally, a number of specific case studies involving diversity, adjustments in tenure-line faculty hiring, retiree health care, and retirement benefits, are offered as illustrations of the successes that have been achieved and continuing challenges that the University must confront through its engagement in the planning process.

The Mechanics of Planning

The regular university budgeting process begins with the Vice President of Business and Finance, who is responsible for establishing the university's annual budget and who produces budget models, makes budget projections, and is involved on a regular basis in monitoring the university's financial resources. He completes these tasks after consulting with numerous stakeholders including the President, the Provost, the Dean of Enrollment Management, the Dean of Admissions, the Assistant Vice President for Institutional Research, Planning, and Evaluation, the Vice President of Student Affairs, and other members of the President's cabinet. Budget models and projections are regularly shared with the campus-wide Strategic Planning and Budgeting Committee that meets nine times a year. The President serves as chair of the Committee, which is composed of four Vice Presidents, the Provost and the Assistant Vice President for Institutional Research, Planning and Evaluation, six faculty members, three staff members, two students, and three trustees. Information pertaining to the SPBC and its meeting notes may be accessed via the following link: <http://www.iwu.edu/president/Strategic/CommitteeReports.shtml>.

Open public meetings with faculty and staff are also conducted twice a year to review projected budgets and budgetary issues are regularly discussed within the representative faculty body, the Council on University Programs and Policy. In addition, such discussions are replicated during regular faculty meetings that are held once a month. These meetings not only deal directly with imminent budget issues per se, but also serve as forums for discussing those issues that have major implications for institutional resource allocation. Proposed annual budgets are subject to the approval of the Board of Trustees, who customarily review and vote on budget proposals for the following year during their May meeting. It should be stressed that annual budgets are always discussed and reviewed within the context of three year budgetary projections.

Environmental Scanning

Social Scientists have often argued that the way in which problems are posed influences the type of solutions that are sought. It is for this reason that higher education institutions cannot afford to ignore what peer, aspirant and other higher education institutions do. Such information is essential to an authentic examination of the premises one employs in making one's own planning assumptions while choosing among alternatives that are not always immediately apparent. The purpose of environmental scanning is thus not one of charting courses of action that are derivative, but to stimulate creative problem posing and problem-solving options. The wealth of information collected by the University Assistant Vice President for Institutional Research, Planning and Evaluation affects every major constituency on campus, spanning the course from faculty salary data, to national reports regarding student attitudes, to enrollment and financial data at comparable liberal arts colleges. Every major planning decision made at the institutional level involves the implicit or explicit use of data generated by that office, much of it involving an analysis of information gathered from extra-institutional sources. Although certainly less systematic, useful information is also gathered through active involvement in national higher education organizations, and in that regard, it is instructive that university administrators have regularly participated in organizations such as the Association of American Colleges and Universities, the American Council of Academic Deans, the Association for Institutional Research, the Council of Independent Colleges, the American Association of Higher Education, the National Association of Independent Colleges and Universities, the National Association of College and University Business Officers, the Annapolis Group of Independent Colleges, the Higher Education Data Sharing Consortium, and the American Association of University Professors. It is in this fashion that they are able to directly keep abreast of current thinking within the field

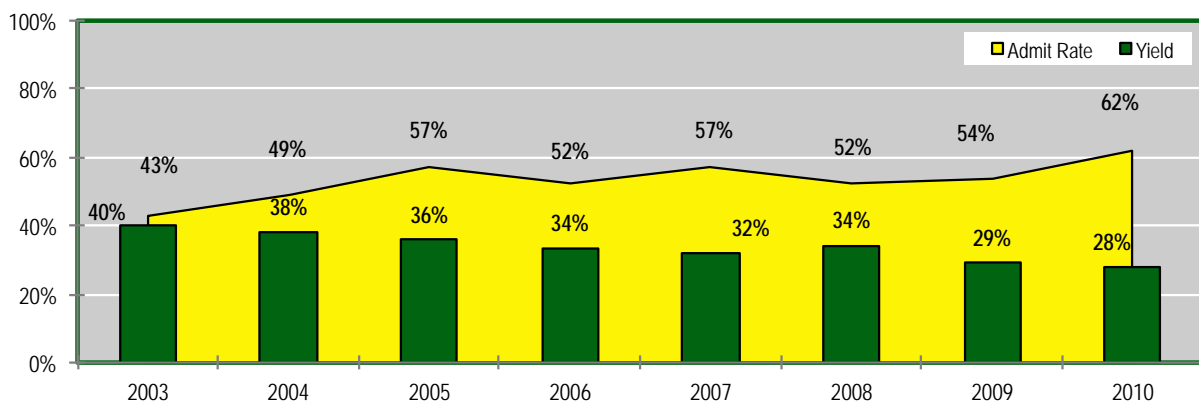
Another method of soliciting comparable data from external sources is to invite outside experts to review campus policies and make recommendations for future planning. As noted later in the chapter, the University Master Plan resulted from such a solicitation. In addition, in 2008, the university invited Gene Spencer, an independent information technology consultant, previously affiliated with Bucknell University, to assess the strengths and challenges confronting the Office of Information Technology. That report has received due attention for its forthright analysis of the impact of resource constraints upon the functioning of the OIT and the larger implications of information technology resource availability and allocation for the campus community. Suffice it to conclude

that through rigorous environmental scanning, personal participation in relevant professional associations and organizations, and with the use of outside consultants, the IWU planning process not only uses external data available to decision-makers, it actively solicits such information, viewing it as an essential component of effective planning. At this point, we find it useful to summarize a number of anecdotal examples that speak to the effectiveness of the planning and budgeting process at Illinois Wesleyan. Two of the illustrations represent positive outcomes, two are illustrative of issues that represent challenges deserving of continued attention.

Student Recruitment and Enrollment Management

Student recruitment and enrollment management are key components in constructing the university budget because of the nature of the institution and its reliance upon tuition and fee driven revenue (tuition and fees comprising 85% of university revenue in 2011-12). The Dean of Enrollment Management (position created in 2005) and the Dean of Admissions are responsible for recruiting and retaining students enrolled at the University, with both deans reporting directly to the President. The Dean of Enrollment Management is responsible for developing long term admission strategies while the Dean of Admissions is responsible for admitting the first-year class and engaging the subsequent class of prospective students. While the Financial Aid office reports to the Dean of Enrollment Management, the DEM also holds responsibility for coordinating retention efforts while assisting in marketing efforts and strategies. In recent years, these individuals have been working with representatives of the *Human Capital Research Corporation*, an external consulting firm whose expertise has been used to help analyze enrollment trends and recruitment strategies.

Figure 1: FIRST-TIME, FIRST-YEAR ADMIT RATE AND YIELD



An examination of those trends indicates that our admit rate for first time first year applicants, has increased from 43% to 62% from 2003 to 2010, while our yield rate has decreased from 40% to 28% (see Figure 1). At the same time, the average ACT score for first year students has remained relatively constant at around 28, and the percentage of enrollees who graduate within the top 10% of their high school class was at 44% for 2010 (see Table 1). It is important to note that the percentage of in-state residents among first year students has held steady, while the percentage of MALANA (Multi-racial, African-

American, Latino, Asian-American, and Native American) students has significantly increased from 8.8% in 2003 to 16% in 2010. With regard to our global diversity profile, our percentage of international students has fluctuated, with 6% enrolled in 2011. The six-year graduation rate for the class year of 2008 was 81%, the four-year rate for the class of 2010, 77% (see Table 2). These trends suggest that the Illinois Wesleyan University student body is becoming more diverse, mirroring national trends, while remaining extremely academically capable, as evidenced by their academic profile and their relatively high four and six year graduation rates. However, some of the areas of concern, noted in the introduction to this section, deserve extended discussion.

Table 1: FIRST-TIME, FIRST-YEAR STUDENT CHARACTERISTICS

FALL	2003	2004	2005	2006	2007	2008	2009	2010	2003	2004	2005	2006	2007	2008	2009	2010
Total	578	549	565	552	538	562	518	587								
GENDER																
Men	260	228	238	223	224	229	205	273	45%	42%	42%	40%	42%	41%	40%	47%
Women	318	321	327	329	314	333	313	314	55%	58%	58%	60%	58%	59%	60%	53%
RACE/ETHNICITY																
Non-resident Alien	12	4	17	14	17	31	21	12	2%	1%	3%	3%	3%	6%	4%	2%
Black/African-American	16	22	40	33	29	34	23	31	3%	4%	7%	6%	5%	6%	4%	5%
American Indian	2	2	1	3	2	2	2	1	0%	0%	0%	1%	0%	0%	0%	0%
Asian	17	12	25	25	27	22	26	28	3%	2%	4%	5%	5%	4%	5%	5%
Hispanic/Latino	16	17	18	19	13	18	15	34	3%	3%	3%	3%	2%	3%	3%	6%
White	498	463	434	445	420	416	364	443	86%	84%	77%	81%	78%	74%	70%	75%
Multi Racial																
Unknown	17	29	30	13	30	39	67	38	3%	5%	5%	2%	6%	7%	13%	6%
RESIDENCE																
In-state	476	472	467	471	457	475	430	500	82%	86%	83%	85%	85%	85%	83%	85%
Out-of-state	102	77	98	81	81	87	88	87	18%	14%	17%	15%	15%	15%	17%	15%
TOP 10% of HS CLASS	301	285	266	254	242	253	233	258	52%	52%	47%	46%	45%	45%	45%	44%
AVERAGE ACT	28.5	28.6	28.4	28.2	28.0	27.7	28.0	27.9								

Definitions and Notes - 1) MALANA = Multi Racial, African-, Latino-, Asian-, and Native American students.

Table 2: GRADUATION RATES

COHORT CLASS YEAR	1999 2003	2000 2004	2001 2005	2002 2006	2003 2007	2004 2008	2005 2009	2006 2010
Original Cohort	553	538	567	566	578	549	565	552
Adjusted Cohort	553	538	565	565	578	549	565	552
4-yr Grad Rate	77%	76%	79%	77%	80%	77%	76%	77%
5-yr Grad Rate	82%	80%	82%	82%	86%	81%	81%	
6-yr Grad Rate	82%	80%	82%	83%	86%	81%		

Perhaps the biggest source of concern involves the allocation of student financial aid. Financial aid constituted 33% of university expenditures in 2010-2011 and was budgeted to constitute 34% of those expenditures in 2011-2012 (see Table 3). The overall discount rate was 39% of the comprehensive fee charged to students (2010). Yet, the family profile of students who desire to attend the university is changing, as families interested in sending their students to Illinois Wesleyan are having an increasingly difficult time of securing the finances that would allow their students to successfully enroll and graduate. As the mean family income of those interested in sending their students to IWU is

declining (from \$117,068 in 2010 to \$105,568 in 2012), traditional avenues for securing funds in support of private education financing, such as obtaining a second mortgage on one's home or borrowing from other sources, are no longer viable options given continuing pressures affecting the national economy. At the same time, the university has carefully tried to limit its tuition and fee yearly increases to maintain some measure of comparable affordability. In that vein, the university's comprehensive fee is ranked 54th out of the top 60 liberal arts institutions as identified in the U.S. News and World Report annual rankings (SPBC report #78). A long-term concern about the growing degree of student indebtedness upon graduation from the university is also present and is reflective of national attention to this issue. Our students currently graduate with an average indebtedness of \$31,904, an increase of \$10,110 since 2006. Our admissions, enrollment, and student affairs offices report that an important reason prospective students fail to enroll at Illinois Wesleyan University involves the financial aid package they receive, while a primary reason why students transfer after enrolling at IWU again concerns the financial costs of continuing to attend the institution. It should be noted that the University gives merit aid to selected students regardless of their financial need, a policy that mirrors that of many peer institutions, made necessary by the intense competition for highly qualified students. Certainly there is shared discomfort with a policy that offers financial assistance to students whose families don't need it on the basis of their academic merit, while at the same time, students are knowingly admitted who do not have the financial resources to fully meet the costs of attending the University even after assistance is offered. However, while the policy needs to be continuously monitored and further scrutinized, there are no viable alternatives that have been proposed to date.

Table 3: FINANCIALAID

FISCAL YEAR	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
University Aid	15,471,753	17,161,506	18,505,722	20,334,021	21,753,094	22,845,580	25,293,699	26,477,773	28,115,896	30,021,915
University Budget	63,526,983	64,067,265	67,214,721	70,815,203	73,949,546	76,662,145	82,644,519	84,737,357	84,618,124	87,199,220
Aid as a % of Budget	24%	27%	28%	29%	29%	30%	31%	31%	33%	34%
Overall Discount Rate	37%	35%	35%	36%	37%	36%	38%	39%		
Parent AGI Mean						99,250	102,871	117,068	106,771	105,568
Aid Applicants	405	408	430	429	444	412	421	417	502	
Aid Applicants with Need	335	314	329	337	339	305	360	347	417	
Applicants with Need %	83%	77%	77%	79%	76%	74%	86%	83%	83%	

One strength and one challenge to student recruitment can be tied to the large percentage of students whose families reside within the state of Illinois. The university has traditionally profited from close relationships its admissions staff has cultivated with guidance counselors within the Chicago area and its surrounding suburbs. The "Chicago market" is one of the most important and vibrant areas for student recruitment in the United States, and the university admissions office not only understands the complexity of that market but its members have historically been successful in recruiting capable students from many of its best high schools. The challenge is one of diversifying recruitment strategies while maintaining traditionally beneficial relationships with known high school counselors. As more competitors from undergraduate institutions outside of the region seek to take advantage of the "Chicago market," the imperative to expand recruitment efforts outside of the state and the region increases.

To be sure, the IWU admissions staff has had success in recruiting outside of the state, with significant resources having been focused upon the Dallas/Ft. Worth, Austin, Denver, Kansas City, Phoenix/Scottsdale, Los Angeles, San Francisco, Portland/Seattle, and Virginia markets. In addition, ties with counselors in the Minneapolis/St. Paul area have become particularly strong over the past decade. These efforts have seen dividends, particularly with regard to the recruitment of students from more diverse backgrounds, especially in the Los Angeles area. However, as has been previously noted, the total number of students recruited from within the state of Illinois has remained fairly constant over the past decade and the efforts to recruit a more national student body have not assisted in lessening the overall percentage of budgetary allocation devoted to student financial aid.

The challenge to enroll and retain a student body whose size allows the university to function effectively while offering a quality private undergraduate education that is affordable is compelling. It is complemented by the need to attract students who are both academically capable and increasingly representative of diversity in all of its forms. One can see that over the past decade, enrollment numbers involving the first year class have fluctuated, sometimes significantly, in alternate years. This has occurred even though the number of transfer students who have been admitted to the university has increased. It is clear that preparing a budget based upon revenues that are largely tuition driven can limit one's degree of freedom in pursuing long-term planning strategies, particularly when the external factors governing national economic health are subject to vacillation. Illinois Wesleyan's story is one of having experienced reasonable success with regard to achieving enrollment and retention targets. However, the long-term challenges that all national liberal arts higher education institutions are being forced to confront with specific regard to affordability and its relationship to recruitment and enrollment management, as well as maintaining and increasing diversity among the student body, are ones that Illinois Wesleyan University must also address and will therefore directly affect IWU's planning process in the near and long-term future. The importance of generating and relying upon other forms of revenue to enhance budgetary priorities, noted in the introduction to this section, has been repeatedly acknowledged throughout the past decade and is clearly expressed within the university's strategic plan as well as in its 2003 *Growth and Challenge* self-study and the Higher Learning Commission external team report based upon its 2003 visit. It is therefore appropriate that we briefly turn to the role of the university endowment as well as other external sources of funding within the budget planning process to further discuss the ways that influence the construction and implementation of the university budgeting process.

Endowment Management, the Annual Fund, and Gift Giving

In the introduction to the discussion of this criterion, mention was made of the sharp decline in the value of the university endowment in 2002-2003. The figure "IWU Endowment Market Value" traces the market value of the endowment from 2003 through 2010. It shows an increase in endowment from about \$138 million to \$161 million. However, this increase in value between 2003 and 2010 has not been steady, with, for example, substantial declines in the endowment recorded for fiscal year 2008 and 2009 corresponding to the U.S. stock market downturn

(http://www.iwu.edu/instres/factbook/fact10b/end_1011b.pdf). Indeed, the University incurred investment losses in excess of \$31 million during this time period and these losses not only erased much of the investment gain realized during 2006 and 2007, but have had an effect on subsequent operating budgets, since budgeting is now based on a formula that involves a four-year rolling average of endowment value. Previously IWU calculated the endowment draw based on 5.25% of the July 31st average endowment market value of the previous three years. This was changed in 2007 to 5.25% of the December 31st average endowment market value of the previous four years. The change has allowed for better planning because the value of the endowment draw is now known well in advance of the beginning of the University's fiscal year, which begins on August 1st. In any event, the variations in endowment growth and decline have significantly affected the budgeting process as the endowment draw consistently comprises approximately 11% of annual revenue.

Approximately 4% of the university's annual revenue comes from the Annual Fund and Private Gifts and Grants. Maintaining and growing the annual fund has been a challenge as has expanding the percentage of alumni who donate to the university. That percentage, 19% in 2010, is comparatively low for an institution of this type and stature. It needs to be analyzed within the context of the progress the university has made in completing its *Transforming Lives* capital campaign, for that initiative has not only benefited from the receipt of a number of important major gifts, but it is on track for meeting its \$125 million targeted goal. Indeed, balancing one's efforts so as to attract major donors while also expanding the donor base can be difficult. Devoting due attention to both the acquisition of major gifts and annual fund contributions requires intricate strategic planning. Nonetheless, as is also noted in the discussion of criterion 5, continuing to increase the amount of the annual fund and expanding the donor base are challenges that the institution needs to address. Issues surrounding tuition revenue, endowment, annual fund, and major gift giving comprise almost 99% of the revenues the university depends upon for its regular operations, and they directly affect the planning and budgeting process insofar as they influence the parameters that are set with regard to planning options, in the short and long-term. However, there are additional factors that influence the planning process, involving the use of long-term planning documents such as the University Master Plan and Strategic Plan that also deserve discussion.

The Master Plan and the Strategic Plan

Long term planning for the physical development of campus is guided to a large extent by a master plan that was completed in 2002 and was the culmination of a process that was initiated by the President's Office in consultation with the Board of Trustees. This plan involved extensive work by architects from Shepley, Bulfinch, Richardson and Abbott, a Boston-based consulting firm. The full report of their findings, titled *Illinois Wesleyan University Campus Master Plan: a Vision for the Future*, is found at: <http://www.iwu.edu/instres/internal/2002MasterPlan.pdf>. The "Executive Summary" of the plan indicates that the planning process began in May of 2001 and included over 25 interviews with campus groups. The consultants also conducted a significant evaluation of the campus environs with a focus on selected campus buildings and completed a rigorous evaluation of space and facility needs to determine how best to shape the

physical structure of the university. Alternatives were discussed and the final plan that evolved from this process is reported in the *Master Plan*. Over the past decade, the *Master Plan* has guided the physical development of the campus with many of the construction objectives either achieved or far along in the planning process. The plan has had significant influence on strategic planning at IWU and in the determination of fundraising priorities in the current capital campaign. Objectives of the *Master Plan* are often the topic of discussions in strategic planning venues, including the Building Subcommittee of the Board of Trustees, and the Cabinet. The administration also has a capital projects group that includes representation from administrators representing diverse constituencies (e.g., Student Affairs, Academic Affairs, IT and the Physical Plant).

The University Strategic Plan, approved by the Board of Trustees in 2006, (<http://www.iwu.edu/president/Strategic/index.shtml>) drives the strategic planning and budgeting process. While every section of the plan has resource implications, Section VI focuses explicitly on financial resources. The main strategic financial goal stated in the plan is to “maximize Illinois Wesleyan’s financial base and focus the use of financial resources on supporting strategic goals. Within this section, there are six strategies identified in support of achieving this goal: increasing financial support; identifying benchmarks and measuring progress; managing tuition and financial aid; using existing resources strategically; conserving and preserving; and presenting financial information transparently. Thus, the creation of the current *Transforming Lives* capital campaign was influenced directly by the recommendation expressed within Strategy A of the Strategic Plan. In a similar vein, the creation of a Dean of Enrollment Management position, an Office of Institutional Research Planning, and Evaluation, and the university wide Strategic Planning and Budgeting Committee, can all be tied to the importance of the Strategic Plan in shaping those planning priorities enumerated in the document that these specific offices and structures are designed to address.

One specific example of the influence of the Strategic Plan upon university planning involves its admonition that the institution engage in practices that are “conserving and preserving,” or promote sustainability and conservation initiatives. A sampling of those initiatives includes the creation of important campus wide organizations, the expansion of the Environmental Studies program, the development of an annual Illinois Sustainable Living and Wellness Expo, the promotion of LEED certified building construction, as well as the Presidential signing of the Talloires Declaration. These examples speak to the ways in which the Strategic Plan shapes campus planning in this particular area and exemplify its generic importance to the larger planning process throughout the university. They are further discussed in an analysis of criteria 2d, criteria 3, and criteria 5 (<http://www.iwu.edu/aboutiwu/initiatives/sustainability.shtml>). At this point, we find it useful to offer a number of other examples that speak to the effectiveness of the planning and budgeting process at Illinois Wesleyan. Two of the illustrations represent positive outcomes while the others are illustrative of issues that represent challenges deserving of continued attention.

Addressing Diversity

The Diversity Goal, a key component of the University Strategic Plan, directs the university to “Increase and sustain diversity among students, faculty, staff, administrators, and trustees; with a special focus on attaining ‘critical masses’ from underrepresented racial and ethnic groups, create a welcoming, inclusive, multicultural campus where all community members appreciate and respect the diversity of the nation and the world.” Three of its five specific strategies include: “developing a campus-wide commitment to diversity as an institutional priority, recruiting and retaining a diverse student body, and developing and sustaining a welcoming campus climate.” In support of the diversity goal, the University Council on Diversity was created in late 2009 to coordinate and promote relevant campus wide initiatives. Two sets of programs, independently developed in separate university units, have been effective in promoting these strategies.

For example, the admission office has sponsored a number of programs targeting prospective students from diverse backgrounds. In the spring of 2010, it held its first Tu Universidad (Your University) program for prospective students and their parents. Sessions regarding the admission and financial aid process were offered both in English and Spanish. The admission office has also conducted “Multicultural Weekends” for prospective students and over the past decade, it has created new summer programs to educate prospective high school students and to engage them in considering the educational opportunities available at IWU. One notable example is the *CollegeQuest* program, where Illinois Wesleyan extended an offer to work with qualified rising juniors and seniors from the Chicago Public School system. Qualified students from CPS spend four days on campus, where they are offered the opportunity to attend sessions on topics such as the college admission and application process, essay writing, how to select a college, financial aid and college affordability, diversity issues, faculty expectations for academic engagement and success as well as how to get involved in student activities. Illinois Wesleyan students act as hosts and provide insight about the challenges and opportunities to which one would be exposed through enrolling at the university.

A second program, designed by IWU faculty in the sociology and psychology departments, involves selecting new enrollees who express initial interest in the program. Students participate in a series of orientation sessions whereby they are encouraged to openly discuss issues of racism and white privilege among themselves and with students from diverse backgrounds who are already on campus. During the year, the faculty who have developed these sessions attempt to keep in touch with the cohort to examine the extent to which their attitudes toward race and diversity change as a result of their initial orientation experiences. It should be noted that these initiatives originated within separate units and represent independent planning from the bottom up in the service of an important university-wide goal. At the same time, as the faculty and representatives from the admissions office together sit on the University Council for Diversity, a space has been created whereby they can effectively share their views of best practices to improve upon these complementary and mutually beneficial programs. In so doing, this case represents a positive example whereby the university has experienced some success in strengthening the coordination component of the planning process at its higher levels.

Tenure-Line Criteria and Faculty Personnel Adjustments

The Council on University Programs and Policy (CUPP) offers advice to “the President and the Provost/Dean on matters brought to its attention by the President, the Provost/Dean, any member of the Council, or any member of the faculty. The Council shall consider and make recommendations to the President, the Provost/Dean, or the faculty on University physical plant, enrollment, development, strategic planning, or other matters of University operation as deemed appropriate (Faculty Handbook, chapter 2, page 5, October, 2010).” As such, it serves as the most important faculty body involved in shared governance issues on the campus. As a result of a hiring freeze enacted in 2009-10, CUPP saw the need to review the criteria for evaluating tenure-line proposals to the Provost. Until then, it was generally assumed that except for unusual circumstances, departments would be given deference for tenure-line replacements. Because such guarantees could no longer be made, Council representatives recognized the need to construct an evaluation system where their recommendations to the Provost would have to be made on the basis of evidence demonstrating reliance on a position, programmatic need, and enrollment pressure. In addition, the nature of the Council’s recommendations to the Provost was systematized to include the following responses: approval, conditional approval, postponement, and denial. After being presented and discussed among the general faculty, these changes were accepted and have been adopted as policy (Faculty Meeting Minutes, 3/1,2010, 4/5/2010). The case demonstrates how an important organizational body within the Academic Affairs unit can react to changing circumstances in a positive way, taking upon itself the reshaping of policy recommendations that immediately affect future university planning.

A second illustration also involves the Council on University Programs and Policy (CUPP). During the 2010-2011 academic year, strong concern was voiced among the faculty about salary compression and inversion issues, as they affect faculty of different ranks and across disciplines. Given the fact that the university includes a number of faculty who teach in pre-professional programs that are sensitive to market forces and co-exist with those who are housed within traditional liberal arts disciplines, the issue is one that directly affects this faculty with particular regard to hiring and speaks to concerns regarding salary equity, recruitment, and retention policies. The Interim Provost and the Chair of CUPP convened a task force to investigate these issues in response to formally-stated faculty concerns. During its deliberations, the task force met with the President and negotiated a policy statement that was crafted to address the salient issues at hand. That statement was later approved by the faculty and shared with the Board of Trustees. It represented an effort to balance the needs of all parties without unduly limiting the opportunities to address individual cases with some degree of flexibility. By placing these issues within a larger context, the task force was also able to make recommendations involving the size of promotion increments, adjunct pay, and equity pay adjustment policies for all faculty and these recommendations met with general faculty approval.

These two cases demonstrate how representative bodies within units can respond to constituency concerns and work with administrators representing larger university interests to further policy reform that has implication for institutional planning. In both cases, the pressure for change comes from the bottom up and in both cases, the

governance process has proven nimble enough to respond to such pressure.

Retiree Health Care

As has been previously noted, in response to an unsustainable accumulated post retirement benefit obligation (APBO), the University eliminated its defined benefit retiree program and replaced it with two different programs (i.e., defined benefit dollar (\$500), and defined contribution (funded through Emeriti and notional accounts), which were specifically designed to accommodate current retirees and active employees based on age and years of service. The APBO for fiscal year 2009 was calculated to be \$21.7 million, and was projected to grow to \$50 million by 2029. Thus, it was important that the situation be addressed. (rhp_012011.pdf) Issues involving the financing of retiree health care and addressing the growing unfunded mandates that the provision of retiree health care created first gained national prominence in the 1990s. IWU steering committee members responsible for the *Growth and Challenge* self-study were themselves more generally aware of the fact that health care provision, as an increasingly burdensome financial issue, would have to be confronted. It is thus a fair conclusion that IWU neglected to fully address the funding of retiree health care when it could have done so earlier, and where a revised retiree health care policy could have been phased in over time.

Nonetheless, by 2009, there was an imperative to act, given external economic pressures for a tightening of credit markets and a re-evaluation of non-profit institutions' credit worthiness on the part of bond agencies. Jack L. Ross, FCA Senior Vice President of AON Corporation, was brought on as an employee benefits consultant to review the retiree health insurance plan that IWU currently offered, examining levels of IWU liability and expense, available options, the impact of the various options, and the steps that would have to be followed once a decision was made (March 2, 2009 SPBC minutes #60). In fulfilling this task, he met with members of the Strategic Planning and Budgeting Committee as well as the campus Health Care Advisory Committee. A proposal, agreed upon by members of both committees, was then reviewed by the Board of Trustees Ad Hoc Committee on Retiree Health Care in April and was returned for revision. Board concerns focused upon the projected increase of the APBO over time, the disparate funding levels for different groups included in the proposal, and the continued growth in general health care operating costs (SPBC minutes, May 8th, Report #64). Eventually, the retiree health care plan currently in place was adopted to the considerable consternation of many faculty and staff.

Although faculty and staff understood that the ultimate decision-making regarding this policy revision lay with the Board of Trustees, the way in which the SPBC and Health Care Advisory Committees' recommendations were rejected was troubling to many, and the timing of the decision-making process, occurring so close to the end of the academic year, was not appreciated. It should be stressed that faculty and staff anger was not limited to those Committee members who felt that their views were ignored. For many, the issue involved implicit promises made by the institution when they were first hired,

along with a lack of appreciation for their years of service to the university.

Retirement Benefits

As was noted in the introduction to this section, in response to the immediate repercussions of the 2008-09 economic recession, faculty and staff salaries were frozen for 2009-2010 and 2010-2011, with a 1% raise allocated for 2011-2012. Retirement compensation was drastically reduced by 50%, to be rebuilt over time as revenues permitted. At the same time, a hiring freeze was put in place for the 2009-2010 academic year and operating budgets throughout the university were cut by up to 2.0%. These measures were taken to address an immediate 3.415 million dollar deficit projected for 2010 and a 3.665 million dollar deficit projected for fiscal year 2011. (President's Budget Report to the Board of Trustees, Feb. 11, 2011. [rfw_report_020910.pdf](#)) For many faculty and staff, what was most troublesome about these decisions was not the rationale behind them, but the timing in which they occurred. The decision to reduce retiree benefits was perhaps the most unpleasant of these decisions. Revised budgetary decision-making was finalized only in November, after the fall semester commenced, in reaction to a lower than expected number of first year enrollees along with other structural weaknesses made more compelling by the recession. As a result, faculty and staff were surprised when confronted with the difficult news, and while alternative strategies for addressing budget imbalances were considered and rejected, the necessity of reacting quickly to a large budget shortfall took its toll on faculty and staff morale as well and reduced confidence in the planning process. In situations such as these, planning seems to be reactive rather than proactive and options for alternative courses of action become increasingly limited as a result. And, although few of those who reacted negatively to the actual decisions proposed viable alternatives that would have been embraced by a majority of the different university constituencies, the speed with which unpleasant decisions had to be made took a toll on the efficacy with which those decisions were communicated.

Institutional Planning at Illinois Wesleyan University: Strengths and Challenges

The vignettes described above demonstrate the strengths and challenges of institutional planning at the university. On the one hand, planning processes are flexible enough to encourage initiatives that percolate from the bottom up, address university-wide goals, and have an inclusive positive impact upon the institution. In addition, there is a level of transparency in the decision-making process that speaks well of the progress the university has made in the decade since its previous HLC evaluation. To be sure, there are some faculty and staff who believe that although greater information is disseminated with regard to policy decisions than in previous years, decision-making is still less consultative than it could be. However, few would disagree with the conclusion that more individuals are afforded the opportunity to at least regularly make their case as it involves institutional planning, even though their views may or may not be ultimately accepted, than has previously occurred. It should also be noted that the planning process at the institutional level has been professionalized in a manner that in many respects, is worthy of emulation. The use of environmental scanning, external consultants, and the

transparency with which data is shared through the Office of Institutional Research, Evaluation, and Planning increase the chances that decision-making is less arbitrary and quixotic, if only because the importance of gathering and analyzing data, as an intrinsic part of the planning process, is a value that is widely shared.

While the planning process is relatively transparent, it has not always occurred in a proactive manner, as illustrated by the latter two cases described above. When confronting especially difficult circumstances, the speed with which decisions have to be made takes a toll on effectively communicating the reasons for actions, not to mention the necessity of reconciling short-term decision-making with long-term goals and values. It is clear, though, that in spite of some difficult planning decisions that have been made over the past few years, Illinois Wesleyan has never compromised its shared values or its mission. The challenge in the future, is to continue to engage in a forthright discussion of long-term planning goals that establishes those priorities that give the University the best chance of enhancing its general institutional health, putting the IWU community in the best position possible to fulfill its mission.

2b. The organization’s resource base supports its educational programs and its plans for maintaining and strengthening their quality in the future.

Financial Resources

Table 4: TUITION REVENUE AS A PERCENTAGE OF THE BUDGET

FISCAL YEAR	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
Tuition Provided by:										
Students	27,016,884	28,686,171	31,305,307	33,544,427	34,576,131	37,036,393	38,338,654	38,019,650	39,491,136	39,797,249
GovernmentAid	3,180,907	2,966,625	2,773,674	2,549,437	3,166,728	3,149,112	3,342,881	3,795,129	3,800,000	4,200,000
UniversityAid	15,471,753	17,161,506	18,505,722	20,334,021	21,753,094	22,845,580	25,293,699	26,477,773	28,115,896	30,021,915
Total Tuition Income	45,669,544	48,814,302	52,584,703	56,427,885	59,495,953	63,031,085	66,975,234	68,292,552	71,407,032	74,019,164
University Budget	63,526,983	64,067,265	67,214,721	70,815,203	73,949,546	76,662,145	82,644,519	84,737,357	84,618,124	87,199,220
Tuition as a % of Budget	72%	76%	78%	80%	80%	82%	81%	81%	84%	85%

Securing and enhancing the financial resources necessary to support the university mission is a key component in the institution’s strategic plan and is explicitly discussed as the sixth goal of that document. We have previously referred to a number of the strategies in support of the goal as they relate to the planning process, but they merit a revisiting to analyze the ways in which the financial resources available to the university are used in support of its mission. Tuition and fees have always been the single largest annual source of revenue for the university, ranging from \$63,526,983 or 72% to \$85,036,690, or 85% of the respective annual revenues generated during the 2003-2012 period (Table 4). As the overall tuition discount rate has increased from 35% in 2005 to 39% in 2011 (MT source?), the need to continue to effectively manage student enrollment, retention, and financial aid is clearly apparent, and indeed, this has been listed as an important strategy in support of goal six of the strategic plan. Recent efforts to enhance the revenue flow include implementation of a \$500 dollar fee for students who choose to participate in a May Term course (elective three and a half week intensive

courses offered in May). It should be expected that moderate increases in tuition will also continue to serve as an increased source of revenue, be it a modest one, for as has been mentioned, the University has resisted implementing robust tuition increases in deference to the affordability issues that parents must confront. Nonetheless, the fact that the university operates with a balanced budget, and has been able to manage its finances prudently is in part due to a relatively stable revenue stream when viewed across the entire decade, that has very much been influenced by tuition revenue.

The endowment represents another important source of institutional revenue, and its restructuring has received considerable attention since the last self-study. In 2002 the University hired an investment consultant, Hammond Associates, to evaluate endowment policies and suggest revisions in those policies. Since then a fruitful relationship has developed between the University and Hammond Associates. The result has been a conscious effort to diversify the portfolio to reduce risk. Significant changes in the University’s portfolio allocations can be examined in table 5.

Table 5		
IWU Investment Type	1/31/03	1/31/11
US Equities	58%	22%
Private Equity	3%	5%
Hedge Funds	0%	12%
International Equities	9%	18%
Real Estate (incl. Farmland)	14%	28%
Fixed Income	0%	9%
Cash/Internal loans	16%	6%
Total	100%	100%

These strategic changes have resulted in an overall favorable investment performance from the endowment and have reduced downside risk, a change that significantly sheltered the endowment from the worst effects of the equity market downturn in 2008-2009. As was previously noted, during that time period, the University incurred investment losses in excess of \$31 million erasing much of the investment gain realized during 2006 and 2007. However, as seen in the “IWU Financial Position” table listed in the IWU factbook (<http://www.iwu.edu/instres/factbook/>), the losses from investments were somewhat offset by a change in accounting principles. In addition, a large surge in private gifts and grants were recorded at this time from approximately \$7 million in 2008 to approximately \$23 million in 2009, mitigating against the most negative consequences of the stock market downturn.

On January 31, 2003, the endowment value was \$127 million and as of September 30, 2010, it stood at \$169.4 million, representing \$81,060 per full-time equivalent student. A distinctive feature of our endowment is the large amount of farmland that has come to the University via gifts. These assets further diversify the portfolio and reduce risk. Although farmland lacks the liquidity of other assets in the portfolio, the value of this land is increasing because of steady increases in the demand for food in world markets and the demand for ethanol in domestic markets.

http://www.iwu.edu/instres/factbook/fact10b/end_1011b.pdf

As has been previously mentioned, policies regarding the draw from the endowment have also changed over the past decade. While extra funds were drawn from the endowment to cushion the effects of significant losses during the dot.com downturn, trustees have more recently stuck to a policy of taking no more than 5.25% from the endowment for operating expenses, based upon the four year rolling average of endowment value. Such conservatism has contributed to the endowment's overall positive growth during the past decade. A final important source of revenue involves the receipt of major gifts and other alumni contributions as constituted by the annual fund. Private gifts and grants were budgeted at \$3.3 million in 2010-2011 and have been budgeted at \$3.4 million for the 2011-2012 budget. Although the university has been the beneficiary of some exceedingly generous major gifts over the past decade, expanding the annual fund whereby regular access to its unrestricted funds can be assured is an institutional priority, to be viewed within the larger context of the necessity of finding new sources of revenue to support university programs and activities. As the University Strategic Plan states,

If the University is to remain affordable for an increasingly diverse student body, and at the same time grow the quality of our programs and facilities, increased fundraising must be a high priority. Increased fundraising will help the University offer new and better programs, provide for needed staffing, and better maintain facilities. All of these activities would not be attainable without additional support from corporations, foundations, alumni, and friends. A capital campaign to strengthen the endowment, provide for the renewal of the physical plant, and support current and future operations would be an appropriate tactic in support of this strategy.

To this end, a major capital campaign is in progress, having already achieved a number of its goals. As the capital campaign increases the endowment, the endowment allocation to the operating budget will automatically increase, creating an important long-term impact on future revenue streams. To date, the *Transforming Lives Campaign* has raised over \$91.5 million of its targeted goal of \$125 million. Because the campaign has very much emphasized the importance of addressing human resource needs, it is structured to include:

\$30 million for students that will provide grants and scholarships for deserving students;

\$20 million that will increase the number of endowed chairs and professorships;

\$22 million that will create endowments for excellence by targeting key priorities like the Writing Program, a Student Leadership Fund, an Academic Advising Fund, an Instructional Excellence Fund, a Summer Research Fund, a Presidential Scholars Fund, a President's Initiatives Fund, Globalization Initiatives, a Sustainability Fund and a Multicultural Fund. (Approximately \$47 million of the \$72 million dollar goal for these three areas has been raised as of June, 2011.)

\$26 million in annual giving to provide student financial aid, and support a range of academic and co-curricular program needs. (\$32 million has been raised as of June, 2011)

\$27 million to create three major campus facilities, in the Center for Instruction, a theatre complex, and apartment style housing for juniors and seniors. (10 million has been raised in support of new facilities as of June, 2011.)<http://www.iwu.edu/campaign/goals.shtml>)

The campaign is thus noteworthy for its recognition of the importance of strengthening not only physical, but also human resources, with 78% of the \$125 million goal targeted to go to the university endowment. The relationship between these two domains is of course symbiotic, as the maintenance, enhancement, and expansion of available physical resources is crucial to creating an environment supportive of the university's broader mission.

Physical Resources

Any discussion of the university's physical resources must begin with an appreciation for the foresight with which the institution's Master Plan was developed. Over the past decade, it has served as a roadmap for future planning, providing powerful benchmarks that have allowed us to measure progress in improving the physical presence of the campus through creating spaces conducive to teaching, learning, and those co-curricular activities that form an essential part of the undergraduate experience (see <http://www.iwu.edu/institres/internal/2002MasterPlan.pdf>). A second consideration that should be taken into account is that new building construction and major renovation usually occurs after full funding has been secured through the acquisition of major gifts, often in support of the capital campaign. Maintenance and minor renovations are funded through regular budgeting processes. The University has strictly adhered to this strategy given the degree of bond indebtedness secured through the construction or renovation of previous facilities such as the Ames Library, the Hansen Student Center, and the Center for Natural Sciences. A brief description of the major building recommendations offered within the Master Plan and our progress in meeting those recommendations is listed below.

1) Methodist Conference Center: The 2002 *Master Plan* urged conversion of the Conference Center to a multi-use welcome center for a number of university units that work with external constituencies. It was envisioned that the old building would receive major renovations.

Update: Through strategic planning and fundraising, it became possible to move beyond the renovation proposal of the 2002 *Master Plan* to the construction of an entirely new building. This funding, which was completed prior to the launching of the current campaign, allowed for the demolition of the Conference Center building and the construction of the Minor Myers Jr. Welcome Center that now houses the Admissions Office and the Hart Career Center. The construction of this building was funded totally from gifts that spared the university from additional debt burden.

The building was awarded the Silver certification as a Leadership in Energy and Environmental Design (LEED) Green Building and is totally ADA compliant.

http://www.iwu.edu/CurrentNews/newsreleases09/fea_LEEDSilver_00809.shtml

2) Bookstore: *“The Master Plan recommends removal of the old Bookstore, with landscape improvements in its place to enhance views out from the faculty dining room and cabana.*

Update: This goal has been partially realized. The bookstore is now an integral part of the Hansen Student Center. Although textbooks are somewhat isolated in the basement, the main level of the bookstore is easily accessible to both students and visitors to the university and the atmosphere is much more conducive to browsing and purchasing university related items. This change again has fostered a greater sense of community on the campus, while the old bookstore has been converted to shipping and receiving space used by the Information Technology staff.

3) Shaw Hall: The 2002 *Master Plan* recommended that *“Shaw Hall should ultimately be removed following completion of a new classroom building. In the meantime, appropriate repairs should be undertaken to keep the building credibly habitable. Extensive renovation and modifications such as installation of an elevator, window replacement or replacement of mechanical systems are not recommended for this building.”*

Update: Only a few upgrades have been made to classrooms in Shaw Hall since the 2002 *Master Plan*. These have generally been in the IT area with installation of more computer stations and overhead projectors. The classrooms are extremely inflexible and have poor climate control. The building is also not ADA accessible. Still, the building remains a major classroom building on campus. The construction of the “New North” classroom building on the site of the Sheean Library, that is now in its beginning stages, will move much of the classroom activity that is now in Shaw to a facility that will be ADA accessible, sustainable and more suited to providing the type of space that fosters community. New North also will increase the amount of square footage of classroom space for students significantly. The 2002 *Master Plan* had concluded that Illinois Wesleyan University’s average square footage per classroom seat is about 20% smaller than that at a group of liberal arts colleges that were then identified as peer institutions. With the completion of the New North classroom building, that deficiency will be redressed.

4) Holmes Hall: *“Holmes Hall should remain a viable administrative office facility for at least the next five years and appropriate repairs and upgrades should be undertaken to keep the building functional for this period of time. However, the University should not undertake any comprehensive upgrade or renewal of building systems.”*

Update: Since 2002 the University has provided basic maintenance to Holmes Hall and has remodeled some office space to accommodate expansion of development and student affairs activities. The building continues to be energy inefficient and is not accessible according to ADA standards. However, there has been an installation of an auto entry door to allow handicap access to the first floor of the building.

5) McPherson Theater: The 2002 *Master Plan* indicated that “*following the completion of a new Theater Arts building, McPherson should be removed. Major capital replacements or upgrades should not be undertaken on this building.*”

Update: This goal has not been realized and remains a significant problem because McPherson Theater is not handicap accessible, has poor sight lines to the stage, and only seats about 300 people. Also, various theatre functions are scattered around campus. A better facility would serve the needs of theatre students and at the same time create a cultural amenity that would help develop a greater sense of community on campus and also benefit the broader Bloomington/Normal Community. Finding gift support for a new theater building is a priority of the ongoing capital campaign as successful completion of a new theater would not only allow for McPherson to eventually be removed, but would also improve the layout of the quad with an unimpeded line of sight from the Ames Library to the New North classroom building.

6) Transitional Housing

The 2002 *Master Plan* also recommended construction of transitional housing for upper division students who are likely to live off campus. The major purpose of this recommendation was to create a greater sense of community by offering upper division students the opportunity to live in university owned apartment style housing on campus. These students would then have the opportunity to more actively engage in campus co-curricular and extra-curricular activities than would be the case if they resided in conventional off-campus housing. Preliminary architectural planning for the construction of a complex exists. However, the implementation of this project will need to wait for adequate start up funding. Once constructed, the rental charges for these units will enable maintenance and renovations to these facilities to be financed without drawing on other parts of the university budget.

7) Childcare

Inadequate child care facilities for faculty and staff have long been a concern of faculty and staff and while the 2002 *Master Plan* acknowledged the importance of this issue, its authors did not make specific recommendations. The issue was finally resolved by partnering with Advocate BroMenn Medical Center and Illinois State University to create a new child care facility constructed on the corner of Main and Harris Streets. Such a facility, more fully described in the discussion of criterion 5, is now in operation

Other *Master Plan* recommendations addressed the tendency to disperse several units into former private residences on the periphery of campus, and the advantage of relocating the units to new or renovated structures, thus offering to those units more centralized space in more visible campus locations. The need for constructing a parking garage near the Hansen Student Center was also noted, as such a facility would help accommodate special event needs. It is assumed that these would intensify with the nearby construction of a new theatre and a new parking facility would further improve town and gown ties, allowing university visitors to have convenient access to sporting and fine art events. To date, these proposals have not been pursued.

However, it is fair to conclude that as funding has become available, components of the Master Plan have been addressed and the University, in judiciously allocating its resources, has remained faithful to the logic and basic parameters of the Plan. In general, the *Transforming Lives* Campaign will result in significant improvements of the campus physical assets and will certainly move the university closer to achieving the vision set in the 2002 *Master Plan*. One priority is the construction of a new Theatre building that, as has been mentioned, has been a long-term objective. However, it appears that the replacement of Holmes and Shaw Halls with a new mixed-use structure for the administration remains a more distant aspiration. Although its utility as a planning instrument cannot be overstated, there are other building projects that the university has pursued since 2003 that are in and of themselves noteworthy, but have not been directly associated with the Master Plan.

For example, major renovations have been made to the student Memorial Student Center over the past several years that merit attention for they represent important improvements to a structure that had become somewhat dated. The negotiations of a new contract with the Sodexo food service in 2006 resulted in a commitment by Sodexo to make significant improvements to the second floor of the building, especially to the Main Lounge and a gathering space known as the Turfler Room. These improvements created a much better atmosphere where university and public events could be held. A second major renovation came with a million dollar gift to construct the Joslin Atrium addition to the Memorial Student Center. This new construction created a well-utilized social space adjacent to the Main Lounge and serves as attractive entry to the Memorial Center from the Quad.

There have also been a number of improvements to the safety and accessibility infrastructure on campus since the last North Central self study. A major project at Stevenson Hall added an elevator to improve safety and accessibility, while a key card entrance system was created for the building, enhancing safety for students working in the Nursing Interventions Laboratory on its second floor. The entrance to the School of Art is being improved with the addition of a new glass stairwell and atrium currently under construction, a project that will serve to further enhance aesthetics of the School of Art building entrance. Major renovations have also been completed for Presser Hall, the structure that houses the School of Music. From a campus-wide perspective, exterior lighting has been improved and sprinkler and security systems have been installed in many resident halls. This work, that encompasses the general commitment to maintain and update existing physical structures in a timely manner, is of course never ending. The budget difficulties brought on by the recession, however, have made it increasingly

challenging to maintain existing facilities and some desirable maintenance and renewal projects have been deferred. A reasonable goal is to use at least 4 percent of the budget for capital renewal. While the university has fallen somewhat behind this figure in recent years, one of its challenges is to work toward allocating a larger amount of the budget toward capital renewal. Even though some deferred maintenance is part of the shared burden of restoring the financial health of the university, its long-term interests are best served by allocating a larger portion of the budget to capital renewal.

In reviewing the physical resources that the university depends upon, it is clear that the campus community can point to significant achievements as well as important challenges that it needs to confront to continue to deliver the quality education it is committed to provide. But it is also clear that the commitment to sustainability and the conservation of resources, along with an acknowledgement that the implementation of a “depreciation program which accounts for the useful life of its physical assets,” (Strategic Plan, Goal Six, strategy E), are obligations it takes seriously as noted within the Strategic Plan, and they are addressed whenever possible. On the one hand, the grounds and many of the campus facilities are quite beautiful and certainly are aesthetically appealing. On the other hand, the list of building and maintenance projects that need future attention is significant. However, a failure to attend to these needs is not attributable to lack of institutional care or concern, but is more accurately reflective of the limited financial resources that have been available to complete such projects. This pattern is also present when one specifically examines university policies and practices with reference to the acquisition, maintenance, and expansion of technology resources in support of its broader institutional mission.

Technology

At the time of the 2003 accreditation review, Illinois Wesleyan had made a conscious effort to embrace the use of technology, both through its acquisition of needed equipment, and its distribution of computing devices throughout the campus, including the wiring of classrooms, dormitories, and faculty offices. In recent years though, the university has not been able to build upon this strength. As was earlier mentioned, noted consultant Gene Spencer conducted an extensive external review of campus Information Technology programs and resources in September, 2008. His major conclusion was that on the one hand, technology was strongly recognized as an important and necessary institutional resource. Many university departments were looking to information technology as a means of ameliorating pressures resulting from expanding workloads and shrinking staff, faculty were increasingly looking toward technology as a way of enhancing their instructional alternatives, and students had come to rely upon IT services for educational and social pursuits. However, *“the IT organization at IWU is constrained by the budget and resources available to it.” (Spencer Report).*

The aging campus infrastructure and limited bandwidth present fundamental challenges to the university in its efforts to keep abreast of technological change. A four-year replacement project, budgeted at \$250,000 a year beginning in 2008 to replace dated electronics, has had to be cut back because of budgetary pressures. And, the lack of a fully robust and functional wireless network throughout the campus may not only become

an increasingly difficult recruiting problem, as students are increasingly attracted to mobile computing possibilities, but deficiencies in this area will also affect instructional and technological innovations that take advantage of mobile computing inside and outside of the classroom. In addition, the limited internet bandwidth, although doubled from 45 to 90 megabytes (Mbs) after the Spencer visit, continues to present problems, affecting the ability of faculty to access resources while teaching, and opportunities for students who wish to use the internet for educational and social purposes. *Educause* Core Data Survey information from 2009 ranks Illinois Wesleyan among the bottom three schools within its peer/aspirant group for percentage of wired residence halls; using the same survey data, the university was ranked 9th out of the 12 schools within its peer/aspirant group with regard to bandwidth per student and centralized IT funding at \$2,169,775; when examining funding per student FTE, IWU ranked last at \$1,024.93 (tables 1,2, and 3 from IT report). The danger, of course, is to confront these considerable challenges in a piecemeal fashion. Yet, given the modest resources available for information technology at the University, Spencer notes that “the quality of IT services and infrastructure appears to be commensurate with current resource levels.” And, in spite of these very real deficiencies that very much correspond to resource constraints, progress has been made in a number of areas, including the implementation of a new content management system for the fall of 2011, the relocation of the university technologist and technology trainer to a more favorable location, and the creation of a modest fund, allowing staff from Information Technology Services and the Thorpe Digital Center (situated within the Ames Library) to purchase new technologies in support of teaching and learning for faculty experimentation.

Although the pattern that has been outlined with regard to the securing and use of physical resources on the campus is similar to that described with reference to technology resources, there are a few notable differences. Over the past decade, while campus physical resources have slowly been maintained and in some areas improved, albeit not at a preferable speed, the University has regressed with regard to its acquisition and maintenance of technology resources. Given the speed with which technological advances occur, this is not entirely surprising. And, when confronted with budgetary pressures that require shared campus sacrifice (including the 1.5-2% reduction in the overall operating budget, first enacted in 2009-10, which has now been absorbed as a permanent cut), it is difficult to set aside significant funding for future projects when the dangers to an infrastructure that threaten its operation are viewed as neither imminent nor immediate. Nonetheless, the challenges of securing adequate technology resources and budgeting for their maintenance are influenced by the need to quickly adopt to the rapidity with which technological innovation is occurring, while exercising the foresight to invest in resources that will positively affect university outcomes for a significant duration. For example, few would have predicted in the mid-to late 1990s that mobility would have such an effect upon technology usage made possible through the improvement of Wi-Fi technology. Nor was the power and potential of social media understood then. Today as we look for ways of developing our technology resources, the task is one of not only securing the funding necessary to improve the current infrastructure and bandwidth capability, but to invest wisely in projects that will demonstrate benefit to the university over the long term.

Human Resources: The Faculty

Faculty Profile

One of Illinois Wesleyan's greatest strengths is the quality of its faculty. Dedicated to the teaching of undergraduates only, members of the IWU faculty come from varied backgrounds and bring an eclectic set of pedagogical and scholarly gifts to the institution. Except in extraordinary circumstances, all tenure-line faculty hiring occurs through a national search, so as to "produce a strong, diverse, faculty." (Faculty Handbook, chapter IV, page 9), consistent with the institution's mission. There is a clear expectation at the time of one's hiring, that one will hold a doctorate or equivalent terminal degree, or will have made substantial progress in the pursuit of the relevant degree (Faculty Handbook, chapter IV, pages 5-6). This being said, the number of full time instructional faculty has remained constant at 161 for five out of the past six years. In the fall of 2010, the university additionally employed 71 part time faculty for a total FTE of 184 faculty serving 2090 students.

As of 2010, 108 faculty (67%) were tenured, 34 (21%) were tenure track, and 19 (12%) were non-tenure track. These numbers and percentages have fluctuated over time to a minor degree, although the non-tenure track percentage (12%) was only as high once (in 2008) over the past five years. Similar degrees of stability over time can be found in the 2010 percentage of faculty holding a doctorate or terminal degree (91%), non-terminal masters degree (9%), or bachelors (0.6%), as the highest degree earned. It is significant that a large portion of the faculty is tenured and an overwhelming percentage of the faculty hold the doctorate or appropriate terminal degree. The actual number of new tenure-line faculty hires has varied, from 13 in 2008-9, to 1 in 2009-10, to six in 2010-11. Having had the opportunity to hire a large number of tenure line faculty in 2008-9 has had a positive effect upon the university. The creation of such a large cohort has encouraged a degree of cohesiveness among the group, and the achievements of many members of this group are already quite apparent to a majority of the entire faculty. The fact that faculty positions have not been cut in the aftermath of the 2008 recession is also noteworthy, as it has had a salutary effect upon maintaining existing instructional programs while holding general faculty/student ratios constant.

With regard to the composition of the faculty, a 60-40% split between male and female faculty has held constant for the past four years. In 2010, 9 or 6% of the faculty were reported to be non-resident alien, 29 or 12% were reported to be MALANA, and 129 or 80% were reported to be White. With regard to issues of diversity within faculty ranks, the 60/40 ratio of male to female faculty members almost mirrors in reverse the gendered composition of the student body. It is noteworthy that institutions such as IWU typically have difficulty attracting MALANA faculty and IWU hiring and retention patterns seem to differ little from the norm. A significant percentage of international (non-resident alien) faculty however, adds to faculty diversity in important ways, certainly complementing efforts to globalize the campus. Nonetheless, IWU faces a significant challenge in adding diversity to the faculty ranks, through recruitment and retention efforts, in future years.

Endowed professorships

Illinois Wesleyan University has fourteen endowed professorships and chairs, nine of which are currently occupied. The number of unoccupied professorships and chairs is in part due to the fact that the University has always viewed it as preferable to fill an endowed Chair from within the ranks of the existing faculty. When circumstances occur that preclude such an appointment from occurring and if it is viewed as desirable to bring in an outside senior hire, then the same review process for evaluating internal candidates is also employed. That review process involves the solicitation of nominees for an open endowed position on the part of the President and the subsequent convening of a Committee on the Selection of Endowed Chairs by the Provost. Committee members include one current holder of an Endowed chair, two members of the Promotion and Tenure Committee, two members of the Faculty Development Committee, the Provost and the Associate Dean of the Faculty, both of whom serve on an ex officio basis. Committee recommendations are then forwarded to the President, who makes the final decision in consultation with the Provost (see Selection of Candidates for Endowed Professorships and Chairs). The Tucci professorship, filled in 2010, is the newest professorship to be created. It is an institutional goal to double the number of endowed faculty positions, and this effort has become a prominent part of the *Transforming Lives*' capital campaign. The criteria that have been created to evaluate candidates for endowed professorship and chair positions strongly reflect institutional values that acknowledge the importance of outstanding teaching, scholarship and service as they include:

Mastery of teaching at all levels, from introductory to advanced-level courses, and a sustained record of active engagement of students in the cutting edge issues of the discipline by involving students in scholarship and/or artistic activity. The successful candidate should be widely recognized as a role model for teaching on this campus.

A record of outstanding scholarship and/or artistic achievement throughout his/her career. In the case for scholarship, evidence for this shall consist of publication in the foremost journals, grants received, peer-reviewed presentations at meetings, editorial service for journals or books, leadership positions held in national or international organizations of the professor's discipline, and prizes and awards received in recognition of scholarship. In the case for artistic achievement, evidence for this shall consist of performance or exhibition in national or international venues, critical acclaim by external reviewers of artistic performance or exhibition, leadership positions held in national or international organizations of the professor's discipline, and prizes or other honors received in recognition of artistic achievement.

Service at the very highest levels of the university, as exemplified by election to major faculty committees and to leadership positions on those committees; appointment by the President and Provost to major appointive committees and significant meritorious service on those committees; unusual meritorious service to the university in any capacity.

(Selection of Candidates for Endowed Professorships and Chairs, page 1)[italics mine].

Recent occupants of Endowed chairs and professorships have used their position to actively assume leadership positions on the campus. They have supported departmental and university colleagues by organizing conferences, speakers, and research activities that transcend personal benefit. The Endowed chairs and professorships initiative has thus become an important venue for recognizing excellence among those who have made sustained professional contributions to the campus community.

Instructional Expenditures, IT, Library, and Staff Support

Table 6: INSTRUCTION AND LIBRARY EXPENDITURES

FISCAL YEAR	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
Instruction & Library	22,672,661	23,865,607	24,837,246	25,601,120	26,717,163	28,361,452	29,623,020	28,204,716	29,531,671	30,023,575
University Budget	63,526,983	64,067,265	67,214,721	70,815,203	73,949,546	76,662,145	82,644,519	84,737,357	84,618,124	87,199,220
Inst as a % of Budget	36%	37%	37%	36%	36%	37%	36%	33%	35%	34%
Percentage Change		5.3%	4.1%	3.1%	4.4%	6.2%	4.4%	-4.8%	4.7%	1.7%

In fiscal year 2009, IWU’s instruction and library expenditures equaled \$29,623,020 or 36% of all general expenditures (see Table 6). In fiscal year 2010, budget allocations included a \$28,204,716 total, or a 4.8% decrease from the previous year as revenues available for university operations decreased by 1.5%. It should be parenthetically noted that budgets for student services, external relations and admissions, and plant operations and maintenance were decreased by larger percentages (2%) than that which occurred to the instructional and library budget in 2010. So, although there was an institutional effort at shared sacrifice when cuts were made, given the prominence of instruction and library expenditure within overall institutional budgeting, the cuts that occurred were significant. When budget cuts were made, relevant governance bodies including the Strategic Planning and Budgeting Committee and the Council on University Programs and Policy were informed of the budget pressures dictating these cuts; they discussed alternative courses of action, and participated in the decision-making process that resulted in these actions.

It should be also be noted, however, that instruction and library expenditures have increased over fiscal years 2011 and 2012 and have now eclipsed \$30 million. At the same time, class size ratios remain generally favorable. 65% of all class sections include 20 or less students, 21% include 9 or fewer students, and 26% include 20-29 students. The 11:1 student/faculty ratio places us eighth amongst our peer/aspirant group institutions, but above schools such as St. Olaf, Knox, Augustana, and the College of Wooster, and tied with Macalester College.

All tenure-line faculty, and almost all visiting faculty, upon coming to the university, can expect to have their own office, equipped with computer, internet, printer, and telephone access. Start-up funds for new faculty with specific research needs are subject to negotiation with the provost during the hiring process. Generally, there is a four year replacement cycle for faculty computers, although faculty are encouraged to extend the life of their computer by upgrading memory and peripherals when possible (Guidelines

for Faculty Office Computer Upgrades and Replacements, revised, 2010). Faculty have access to the Moodle course management software system, and IT support includes office set up, repair of office equipment, and the installation of software programs where appropriate. At the same time, faculty and staff are able to bring their personal computers to the IT office where they are serviced and repaired at no cost.

Teaching faculty receive considerable library support. Such support includes an efficient interlibrary loan system and direct access and borrowing privileges to most of Illinois' university libraries including the University of Illinois and Illinois State University. IWU participates in the Digital Commons program whereby one's syllabi, vita, reprints of publications, and other professional activities are not only archived, but are made accessible on the internet. The library's Thorpe Center has become a place where IT and library staff help faculty negotiate the uses of newer technologies in their classrooms. Library faculty have worked closely with instructional faculty to address ways in which students can best develop and enhance their information literacy skills. Such collaboration has taken the shape of library faculty offering teaching sessions within regular classrooms, leaving the library site to do so, and even team-teaching certain topics with faculty colleagues.

The amount of direct staff support offered to departments varies according to departmental size and the various responsibilities its members are required to fulfill with staff support often being supplemented with the use of work-study students. However, as noted in a Strategic Curricular Review Task Force 2008 report, faculty in many departments believe that institutional limitations regarding increasing staff hiring have had deleterious effects upon their ability to deliver their curricula in an adequate fashion. It seems fair to conclude that from an institutional perspective, strong efforts have been made to preserve the number and quality of the faculty, in spite of significant economic pressures. Recent efforts to fill and augment the number of existing endowed professorships and chairs represent a positive trend. However, faculty voiced the view to the Strategic Curricular Planning Task Force that existing resources were being taxed and that it was difficult for them to provide quality educational experiences to their students within their disciplines because of existing financial constraints. Such sentiments were reiterated in a Fall 2010 Self-Study Steering Committee survey of faculty with a response rate of approximately 25%.

It is clear that in some fundamental ways, the university is succeeding in spite of those financial pressures common to higher education institutions in the second decade of the 21st century. The student:faculty ratio remains quite favorable and there have not been draconian cuts to regular instructional expenditures over the past five years. However, because the amount of staff support in service to department units has been limited in numeric terms, and because departmental supply and expense budgets have remained flat, the possibilities for developing new curricular and pedagogical initiatives within the disciplines have been restricted, particularly as the cost of purchasing needed materials in areas including the fine arts and the sciences has increased.

Faculty Development

In spite of the resource limitations that have been noted, Illinois Wesleyan University has continued to provide a wide range of faculty development opportunities that are designed to support faculty work in all of its various dimensions. Although restrictions have been placed on some programs, many faculty development opportunities have been preserved, others have been enhanced, and some new initiatives have been developed in the aftermath of the 2008 recession. However, as is true of many aspects of university life, it will be difficult to sustain current faculty development efforts in the future without increasing resource allocations in this area. A more complete discussion of faculty development opportunities is offered in the discussion of criterion 3. Suffice it to mention here some of the basic programs that have been supported through the allocation of significant financial resources.

a. *Faculty Travel*: In 2009-2010, \$189,850 was allocated for faculty travel and professional development that contrasts with \$188,974.00 allocated in 2005-2006. Thus, the university operating budgets for faculty travel basically remained the same during this last five-year period. Due to university wide budgetary pressures, though, the 2010-2011 budget was reduced by \$15,000.00, and while funding for regular travel was maintained, funding for extraordinary requests for travel, above and beyond regularly stated guidelines, was eliminated. At present, specific allocations include a \$600.00 standard allotment to a tenure-line faculty member, a \$650.00 standard allotment to a tenure-line faculty member for formal participation at a domestic conference, performance or exhibition, or attendance at a conference where she/he has a leadership role, and a \$1050.00 standard supplement for a tenure-line faculty member for above-stated participation at an international conference, performance or exhibition. These allocations are supplemented by a recommended \$200.00 per tenure faculty member allocation to each department. In sum, IWU tenure-line faculty could expect to receive up to \$800.00 for attending a conference, \$1450 for participating in a domestic conference, and \$1850.00 for participating in an international conference in 2010-2011 (2010-2011 Faculty Development Handbook, page 7). In 2004-2005, a tenure-line faculty member could have expected to receive \$50.00 less for formally participating at a domestic conference and \$200.00 less for participating at an international conference. The \$400.00 standard allotment for visiting faculty to attend a professional meeting, with a \$200.00 supplement for those who actively participate has held constant from 2004-5 through 2010-11 (2004-2005 Faculty Development Handbook). These figures place IWU within the average allocations offered to faculty in our peer-aspirant group of liberal arts colleges, in a study compiled by the Associate Dean of the Faculty office during the fall of 2009 and shared with the Faculty Development Committee (see attachment). However, faculty who wish to attend and participate in multiple conferences during the academic year have found it difficult to take advantage of those opportunities given funding constraints.

b. *Internal Grants Programs*: Illinois Wesleyan University has maintained a number of internal grant programs that seek to assist the faculty in their efforts to improve their teaching and further their scholarly activity. Artistic and Scholarly Development grants are designed to support “professionally significant artistic and scholarly activity.” Grant

awards total \$3500.00 for an individual and \$5500.00 for a joint proposal from two or more faculty members. In addition to offering assistance for travel related to one's project, the hiring of student workers, or the purchase of needed materials, individuals can receive stipends of up to \$2000.00 for their work. \$80,458 was funded for this program during the 2009-2010 academic year, with 23 faculty receiving grants; 83,378.00 was funded in 2010-2011 with 24 faculty receiving grants. However, the amount of available funding was permanently cut by \$30,000 for the 2010-2011 academic year and beyond.

Faculty can also apply for curriculum development grants and instructional development grants. A stipend or budgetary allocation of \$2,000 is available to individual faculty members who wish to significantly revise an existing course or create a new one; monies are allocated according to the number of faculty involved and number of courses revised or created when joint proposals are submitted by two or three faculty. In addition, individual faculty members can apply for a \$500.00 Instructional Development grant program whereby the enhancement of one's pedagogy is promoted. \$17,415.00 was funded for these programs in 2004-2005; \$32,686 was funded in 2009-2010, and \$28,500 was funded in 2010-2011. Again, the total budget amount available for these programs was also permanently cut by \$15,000 in 2010-2011 and beyond. The internal grants programs are further discussed with reference to criterion 5.

It should be noted that the range of options for curricular development has been augmented in recent years through the receipt of a Mellon Foundation Writing grant and a Department of Education grant to promote curricular development in Asian Studies. Faculty members have been able to successfully apply for grant monies under similar terms to those that govern traditional curriculum development grants, and in so doing, strengthen offerings in these particular curricular areas. In 2009-2010, 18 faculty received regular curriculum development grants, 8 faculty received U.S. Department of Education Asian Studies Curriculum Development grants, 3 faculty received writing intensive curriculum development grants, and 5 faculty received instructional development grants (2010-2011 FDC Handbook, pages1-3).

c. Leave Programs

1) *Junior faculty leaves:* Tenure-line junior faculty at the rank of assistant professor in their second, third, or fourth years, are eligible to apply for a junior faculty leave, where they receive a semester leave at full pay and benefits. Leave applications are reviewed by members of the Faculty Development Committee and are approved by the Provost and Board of Trustees. As only three junior faculty leaves are given each year, the program is extremely competitive. In 2010-2011, for example, nine applicants competed for the three slots that were allocated. It should be noted that in a significant change in policy, those who successfully apply for a junior faculty leave do not have to have their formal sabbatical leave program postponed but are eligible to apply to that program according to their regular timeline.

2) *Sabbatical leaves:* Faculty who complete six academic years of full-time service are eligible to apply for a regular sabbatical leave and each seventh year thereafter. Under the terms of this program, faculty receive a semester leave at full pay with benefits, or a

complete academic year long leave at half-pay. From 2000-2001 through 2008-2009, faculty members who applied for their second or tertiary sabbatical leave were eligible to receive a 2/3rd pay supplement for a full year leave. However due to budgetary constraints, the 2/3rd supplement option was suspended for the 2009-10 academic year and permanently eliminated in 2010-2011. Although the 2/3rd supplemental pay program was popular, the costs of hiring full-time visiting faculty as replacements for those taking their sabbatical leaves made continuation of the program cost prohibitive. Sabbatical leaves are viewed at Illinois Wesleyan as being primarily developmental by design. The Faculty Development Committee thus views its responsibility as one where it will work with faculty who apply to the program to ensure that their projects will assist in their professional growth and development and they are carefully reviewed accordingly. Procedures allow for a revise and resubmit process, before a final determination of the worthiness of one's proposal is offered.

d. Senior faculty development opportunities:

1) *Senior Faculty Research Program:* Senior faculty can apply to the Senior Faculty Research Program, where they propose a focused project that can be completed through the receipt of a single course release. In addition, \$600.00 is allotted for project expenses and/or a stipend. One senior faculty research program project was approved for 2009-2010 and one was approved for 2010-2011.

2) *Post-tenure Review:* The Post-tenure Faculty Review Program is a mandatory, non-evaluative program created to assist faculty who have received tenure with their continued development as teachers, scholars, artists, or performers. Completion of the review results in each faculty receiving monetary or in-kind support of \$5000.00, through receipt of a course release, monetary stipend, and/or equipment purchases. Since the program's inception 78 of the faculty have been eligible to complete the program. However, funding for the program has been cut due to budgetary considerations, and in 2010-2011, the program's \$35,000.00 budget was permanently cut by \$15,000.00. As a result, no more than two to three faculty a year can participate in the program (three participated in 2009-10, and three are participating in 2010-2011). When the PTR program was created, it was anticipated that all tenured faculty would participate in the program within a five to seven year cycle. Yet, at this time, participants have had to wait for up to 8-10 years after their tenure for their initial participation. Faculty members who have participated in the program have been strong advocates for its continuation, in spite of the budget cutting that has occurred. Their view, also shared by many faculty members, is that the program should remain in place with the hopes of finding additional resources to allow for its adequate funding. However, in a 2010 survey conducted by the Faculty Development Committee, the PTR program was the one more faculty felt should be cut first, before reducing funds to other faculty development programs such as faculty travel or those involving internal grants, if cuts of that severity needed to be made. (FDC 2009 survey).

It is clear that the university values its core educational programs of which those focused upon faculty development plays a major role. In the midst of financial challenges that have similarly affected institutions of our type that are small in size, highly selective and tuition dependent, our programs have been largely maintained and although the faculty

development budget has been cut, basic allocations for faculty travel have been preserved as have internal grants programs. The notable exceptions to this rule include the Post-Tenure Review program which continues to be severely underfunded, and the 2/3rd monetary supplement for those wishing to take a year-long sabbatical leave, which has been replaced with half-time pay for a full-year leave. It is evident that without additional funding in the future, the internal grant programs that currently exist will become more competitive, will be less likely to affect a large number of faculty, and will thus have difficulty fulfilling their developmental purpose. At the same time, it is worth noting, as the forthcoming discussion of criteria 3 indicates, that faculty development activities are numerous and varied, and the number and type of initiatives involving curricular and pedagogical reform, as well as more general concerns affecting faculty work have increased significantly over the past five years. Many of these initiatives directly address institutional mission concerns such as globalization, sustainability, student writing, and the use of technology to facilitate effective pedagogical strategies. Although the opportunities for participating in faculty development workshops, seminars, lectures, etc. are numerous, many faculty members complain that they simply don't have the time to participate. The key challenges that the institution must confront with regard to faculty development initiatives for the future involve securing a more stable funding base for existing programs while allowing for new initiatives to develop, as well as offering more support to faculty as they negotiate work/personal life balance issues, made increasingly more challenging due to continuing resource constraints.

Faculty Compensation

As Table 7 and figures 2 and 3 indicate, faculty salaries and compensation packages, although rising slightly from 2007/2008 to 2009/2010, have declined over the past few years when compared with AAUP IIB institutions ranked at the 80th percentile with regard to salary and compensation. The decline has been especially precipitous for full and associate professors, although assistant professors have been subject to the same trend. Thus in 2010-2011, average full professor salaries and compensation as a percentage of the IIB 80th percentile stood at 92% and 93% respectively, associate professor salary and compensation averaged 93 and 95% of the category, and assistant professor salary and compensation was at 95 and 97% of the category. All ranks were at 100% or above the 80% percentile in 2003-2004. Historically, the drive to achieve salaries and compensation commensurate with AAUP IIB 80th percentile mean rankings was a goal affirmed by the Board of Trustees, and it required a huge institutional effort to achieve. Thus, the more recent decline in faculty salaries is especially worrisome.

Table 7: AVERAGE FULL-TIME INSTRUCTIONAL FACULTY SALARIES AND COMPENSATION

FISCAL YEAR	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
<i>Average Salaries</i>										
Professor	78.3	77.8	79.7	81.1	82.7	84.1	86.0	87.2	86.4	
Associate	61.2	59.4	60.4	62.0	63.9	64.9	66.2	67.3	67.3	
Assistant	47.1	48.7	51.1	51.7	51.2	52.9	54.8	57.9	57.6	
<i>Average Compensation</i>										
Professor	100.5	101.9	105.6	108.3	111.1	113.8	115.8	114.0	116.1	
Associate	80.3	79.7	81.3	84.5	88.2	88.3	89.0	87.8	88.5	
Assistant	60.2	62.5	67.3	68.2	68.5	70.1	71.9	74.9	76.9	

Figure 2: AVERAGE FACULTY SALARIES AS A PERCENTAGE OF THE AAUP CATEGORY IIB 80TH PERCENTILE

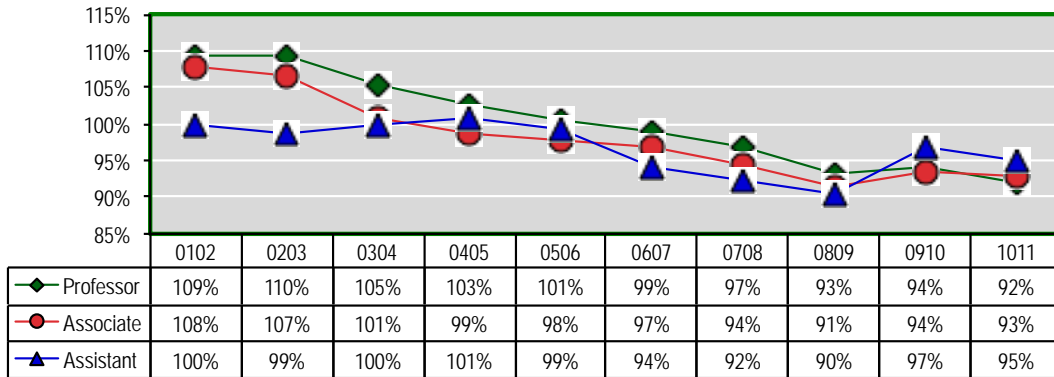
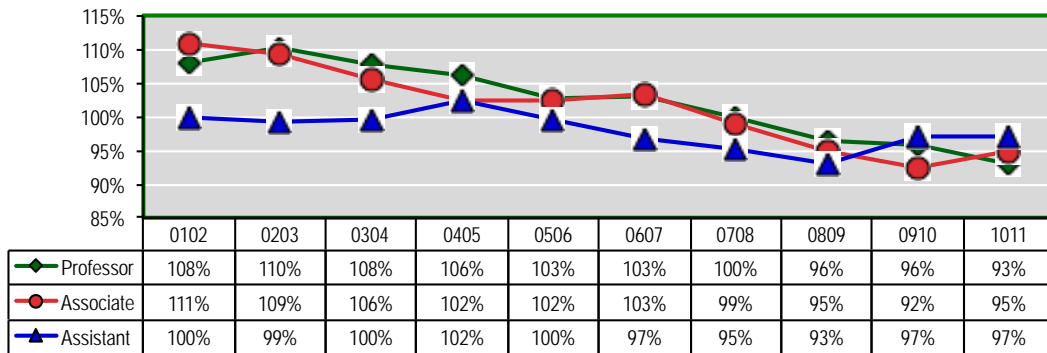


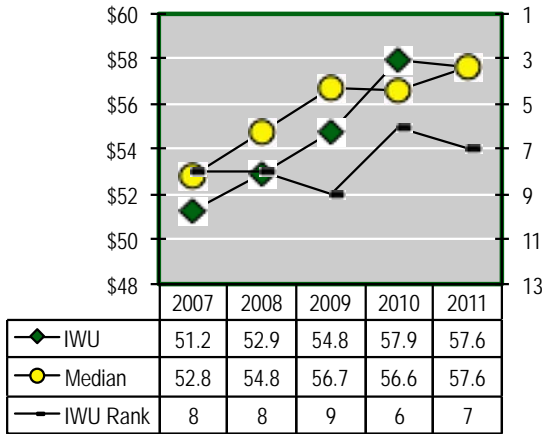
Figure 3: AVERAGE FACULTY COMPENSATION AS A PERCENTAGE OF THE AAUP CATEGORY IIB 80TH PERCENTILE



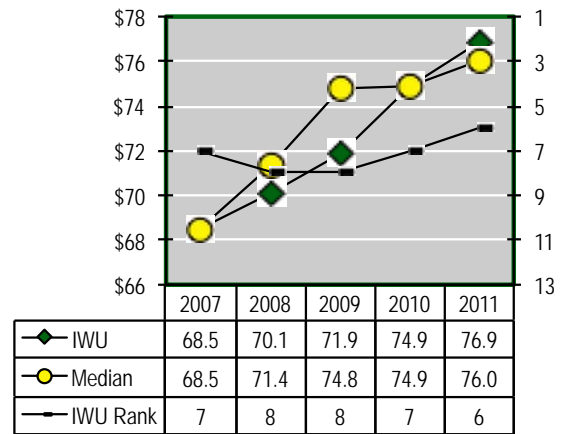
The data comparing faculty salaries and compensation with peer/aspirant institutions since 2007, as indicated in figure 4, substantiates the general concern, with assistant professors having done slightly better over the past five years than their associate or full professor colleagues. Nonetheless, the decision to offer no salary increase for faculty and staff for 2009-10 and 2010-11, and a 1% salary increase for the 2011-2012 academic year, after years of modest increases, has had an effect upon faculty salaries in comparison with both our peer/aspirant group and those in the IIB 80th % category.

Figure 4: AVERAGE FACULTY SALARIES AND COMPENSATION

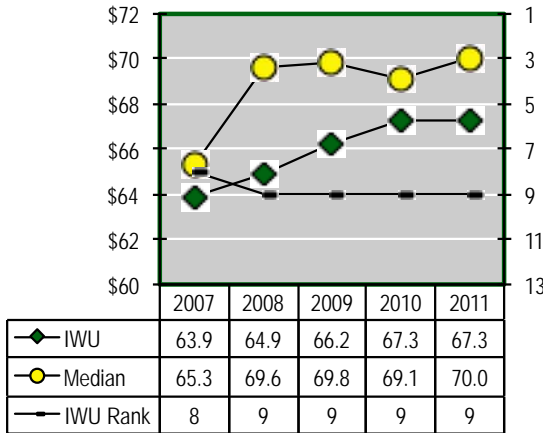
ASSISTANT PROFESSOR SALARIES (\$ = 000's)



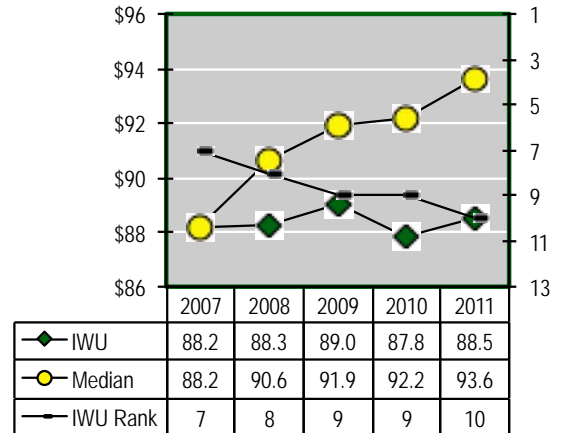
ASSISTANT PROFESSOR COMPENSATION (\$ = 000's)



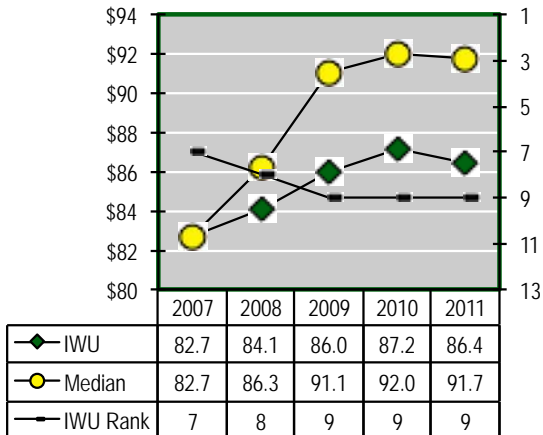
ASSOCIATE PROFESSOR SALARIES (\$ = 000's)



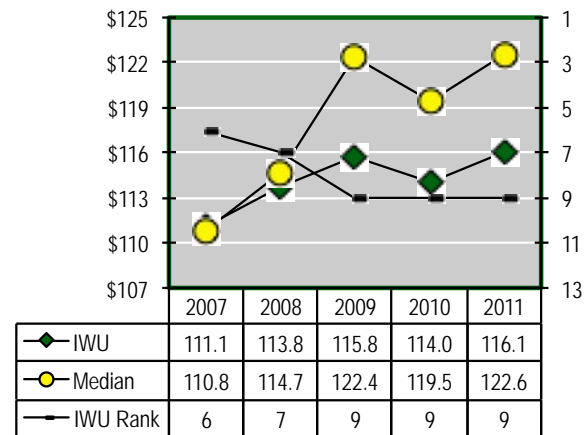
ASSOCIATE PROFESSOR COMPENSATION (\$ = 000's)



PROFESSOR SALARIES (\$ = 000's)



PROFESSOR COMPENSATION (\$ = 000's)



Faculty compensation issues remain an especially serious concern, with particular reference to the significant revisions to the retiree health care plan and the retirement

program that were discussed earlier. Aside from their impact upon faculty morale, these changes have decreased the incentive for senior faculty to retire or even contemplate retirement. Given the concurrent difficulties involving the need to raise salary levels so as to become more competitive for new hires with our peer/aspirant institutions, maintaining the quality of the faculty will be difficult in the future, unless these issues are adequately addressed. In that vein, it is significant that a comparatively generous university tuition grant program, of key interest to faculty with children, has been maintained. Nonetheless, the need to explore early and phased retirement options for older faculty, and to seek stable sources of funding for such options, is clear. It should be noted that future budgeting models are being constructed with a target of reaching the compensation level for 80th percentile IIB institutions within ten years, which would require a 2% increase in faculty and staff compensation per year over the next decade. However, some questions have been raised regarding the feasibility of achieving that goal, given the number of intervening variables that are likely to occur within such a large time span.

Staff

Staff Profile

In the 2003 Report of a Comprehensive Evaluation Visit, the visiting team members noted a lack of adequate staff to support the University's increasing enrollment and additional new facilities and grounds. They said "The lack of adequate staff to support these additions creates significant stress and pressure to get things done, and points to the need to address the human resources necessary to manage the institution's growth." However, since that time, the total number of university exempt and non-exempt staff has not increased. The staff average over the period was 298, with a high of 301 in 2009 and a low of 295 in 2003 (see Table 8). As a result, the average number of students per staff person was 7.05 over this period (table 9), resulting in a ranking of 12th out of 13th with regard to the student-staff ratio among our peer and aspirant institutions. The fact that the university implemented a hiring pause in 2009 to assist in reducing budget expenditures through attrition, and through the subsequent re-evaluation of existing positions once they are vacated, makes it unlikely that the university will significantly expand its staff personnel in the near future.

Table 8: STAFF FTE

FALL	2003	2005	2007	2009
<i>IWU</i>	295	295	301	301
Augustana	370	386	389	367
Carleton	364	363	360	379
Denison	374	390	387	403
DePauw	421	433	453	443
Franklin & Marshall	360	386	410	412
Kenyon	375	382	376	398
Knox	232	243	250	251
Lawrence	252	286	307	268
Macalester	318	330	355	392
Rhodes	247	270	275	271
St. Olaf	417	378	386	408
Wooster	460	456	511	478

Augustana, Knox and Wooster do not outsource their dining services.

Table 9: STUDENT-STAFF RATIO

FALL	2003	2005	2007	2009	Rank
<i>IWU</i>	7.1	7.3	7.0	6.8	12
Augustana	6.2	6.1	6.5	6.7	11
Carleton	5.3	5.3	5.5	5.3	5
Denison	5.9	5.9	5.7	5.6	9
DePauw	5.6	5.5	5.2	5.4	6
Franklin & Marshall	5.3	5.2	5.1	5.2	4
Kenyon	4.3	4.3	4.4	4.1	2
Knox	4.8	5.1	5.4	5.6	8
Lawrence	5.4	4.9	4.6	5.4	7
Macalester	5.8	5.6	5.3	5.0	3
Rhodes	6.3	6.2	6.1	6.1	10
St. Olaf	7.1	8.0	7.8	7.5	13
Wooster	4.0	4.0	3.5	3.8	1

Augustana, Knox and Wooster do not outsource their dining services.

Another area of concern expressed by members of the 2003 Comprehensive Evaluation Visit team was the importance of increasing staff diversity at the University. In response to this concern, the IWU Human Resources Office has placed external job postings at local churches, a Hispanic outreach center, and the Illinois Department of Employment Security. This focused effort to put job opening information in front of diverse groups has been intended to encourage candidates from those locations to apply at IWU. Since staff usually are unable to relocate in the same ways to which faculty are accustomed, relying upon the local community to enhance diversity among the University staff is an absolute necessity. Regrettably, the University's staff diversity figures have not significantly grown since 2003. Nonetheless, the average percentage of Multi Racial, African-, Latin-, Asian- and Native American (MALANA) exempt and non-exempt staff over the seven-year period is 7.25%, which is very close to the MALANA mean and median of IWU's Peer-Aspirant Group (8% and 7%, respectively) (see Table 10).

Table 10: FULL-TIME MALANASTAFF

FALL	2003	2005	2007	2009	Rank
<i>IWU</i>	7%	7%	7%	8%	6
Augustana	11%	11%	11%	10%	3
Carleton	5%	4%	4%	4%	12
Denison	3%	5%	6%	6%	8
DePauw	5%	6%	8%	8%	4
Franklin & Marshall	5%	6%	5%	5%	9
Kenyon	2%		5%	5%	10
Knox	10%	10%	8%	8%	5
Lawrence	1%	5%	5%	4%	11
Macalester	10%	11%	10%	12%	2
Rhodes	29%	28%	30%	31%	1
St. Olaf	5%	4%	5%	7%	7
Wooster	2%	4%	3%	2%	13

The lack of staff personnel growth numerically, and with regard to its diversity, will lead to increasing challenges that may affect the totality of the IWU student experience. As has been previously mentioned, the percentage of MALANA and International students has significantly increased over the decade and as a result, the increasingly diverse nature of the IWU student body will likely alter the types of resources required to facilitate a successful undergraduate experience. But as the student demographics of IWU change over time, the University will need to assess its student support services and resources (e.g., international office, multicultural student affairs, registrar’s office) for those requiring additional advising, networking, or general assistance, especially within the first two years of their undergraduate experience. Additional efforts may be required to monitor the success rates of specific groups (e.g., transfers, international students).

Staff Organizational and Restructuring Issues

The prospects of continuing to rely upon a staff whose numbers have remained stagnant, while addressing the needs of an increasingly diverse student body, will require careful attention to the distribution and perhaps redistribution of staff resources with efficiency and creativity. Thus, the need to conduct a comprehensive ongoing staff workload analysis is palpable. Indeed, the Strategic Plan specifically states (Strategy IIIA) that the University “...should adjust current planning, scheduling and staffing levels in order to develop workloads consistent with the vision of the University” (http://www.iwu.edu/president/Strategic/Goals_HR.shtml). Unfortunately, due to budget constraints within the IWU Human Resources Office and the University, this particular goal of IWU’s Strategic Plan has not been met. Nonetheless, the omission is serious.

Despite the overall lack of staff personnel growth, some position restructurings have taken place in order to meet changing needs. Noteworthy examples include changes in the admissions office where, as has been previously mentioned, the position of Dean of Enrollment Management was created in October, 2005 with the task of developing longer term admissions strategies. Personnel within this office, together with those who work in the Dean of Admissions office, are responsible for recruiting and retaining the high quality students that have traditionally enrolled at the University with both Deans

reporting directly to the President. The Financial Aid office reports to the Dean of Enrollment Management and staff in this position are also responsible for coordinating retention efforts and assisting in marketing efforts and strategies. In addition, in the fall of 2008, the Dean of Admissions reorganized the admission office staff. By reducing the number of support staff members by two positions and by changing the roles and responsibilities of the remaining five positions, the Dean of Admissions was able to add one professional admission staff position. The additional admission staff position was targeted to hire an admission counselor with a Hispanic background to engage with prospective students and parents in markets that Illinois Wesleyan had not engaged in the past. Since the Hispanic population is the fastest growing population in the United States, dedicating this position to the emerging market is necessary and already benefiting the Illinois Wesleyan campus. Other areas where significant staff hiring and/or a reorganization of responsibilities have occurred include the Advancement Office, the Counseling and Consultation Services Center, and the Academic Advising Center. As these positions were created or defined in response to institutional assessment initiatives, they will be discussed more fully later.

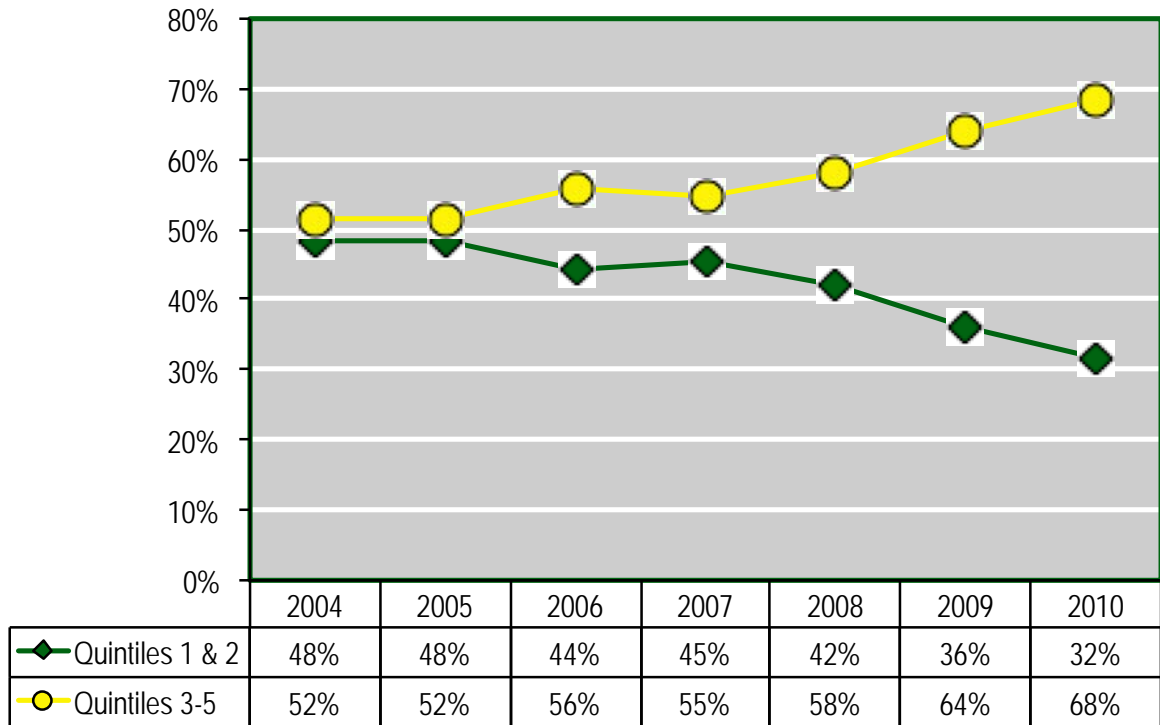
The Impact of Financial Constraints Upon Staff

Table 11: AVERAGE EXEMPT AND NON-EXEMPT STAFF SALARIES

FISCAL YEAR	2004	2005	2006	2007	2008	2009	2010	2011	2012
Exempt Staff	60,735	63,263	61,632	64,529	64,117	69,907	65,639	64,793	66,391
Non-Exempt Staff (hourly)			16.82	17.20	17.67	18.03	17.22	17.90	18.17

The various budgetary pressures that have been previously mentioned have certainly influenced the university's ability to address issues involving staff support. However, these budget constraints over the past few academic years have also stymied progress towards the implementation of a merit-based compensation program that was developed for staff personnel in 2007. And, they have had a marked deleterious effect upon staff salary levels that were already low in comparative terms. An example of the economic impact on staff salaries over the past few years can be examined through the salary data collected by the College and University Professional Association for Human Resources (CUPA-HR). Although not comprehensive across all University employees, the CUPA-HR data provides comparative average salaries of matched administrative positions (i.e., title, responsibilities, etc.) on an annual basis. The CUPA-HR evidence suggests that the two-year salary freeze over fiscal years 2010 and 2011, as well as moderate annual salary increases in previous fiscal years (i.e., 9-year average = 2.5%), has contributed to a decline in salary levels when compared to the IWU Peer/Aspirant Group. Since FY 2004, the percentage representation of matched administrative positions in the lower three CUPA-HR quintiles (59th percentile and lower) has shifted from 52% in FY 2004 to 68% in FY 2010, while the percentage representation for the upper two quintiles (60th percentile and higher) has shifted from 48% to 32% (see Figure 5). It should also be noted that the disappointment that was expressed with regard to university decisions regarding the restructuring of the retiree health care benefit program and the 50% reduction in TIAA-CREF retirement contributions for all University personnel, was certainly shared by staff, many of whom, given their longevity of service to the University, felt their impact in a direct manner.

Figure 5: IWU QUINTILE DISTRIBUTION



Peer/Aspirant Group	
Augustana College (Rock Island, IL)	Knox College (Galesburg, IL)
Carleton College (Northfield, MN)	Lawrence University (Appleton, WI)
Denison University (Granville, OH)	Macalester College (Saint Paul, MN)
DePauw University (Greencastle, IN)	Rhodes College (Memphis, TN)
Franklin & Marshall College (Lancaster, PA)	Saint Olaf College (Northfield, MN)
Kenyon College (Gambier, OH)	The College of Wooster (Wooster, OH)

To be sure, as is noted in the discussion of criterion 5, efforts have been made to add vacation days and extend vacation time for staff. In addition, a \$600.00 supplement was given to all University employees including staff, in December, 2010, with part-time employees receiving a \$300.00 supplement. The purpose of the supplement was to recognize the shared sacrifice of all University employees during times of financial difficulty, and while the fundamental issues involving staff salaries, compensation, and work-load have yet to be resolved and should not be minimized, this initiative was appreciated by many members of the University community.

In addition to staff salary and compensation issues, one area of particular concern involves staff development. Although professional staff development at IWU does occur in several areas, it is largely dependent upon a supervisor's inclination toward promoting staff development, as well as allowances that are available within a work unit's budget. In addition, areas in which outside certification is required (e.g., counseling and health services) are more likely to include staff development opportunities, mandatory and

otherwise. Unfortunately, there is not a University-wide budget for professional staff development. It is clear that staff have directly experienced the consequences of budget constraints enacted in recent years with regard to workload and compensation.

The commitment to improve support for human resources on the campus is clearly stated within the Strategic Plan. However, the failure to administer a workload analysis, to comprehensively address the needs for increased staff compensation and numerical expansion, to implement a merit-based evaluation system and create a professional development plan is indicative of significant institutional weakness. It should also be noted, though, that a tuition benefits program for non-exempt staff has been implemented (although its benefits are not equivalent to those available to tenure-line faculty) and that staff now sit on some of the most important campus bodies, including the Council on University Diversity and the Strategic Planning and Budgeting Committee. A Staff Council, created to specifically represent staff concerns to the University President and broader campus community has also been created and the Staff Council convener regularly attends Board of Trustee meetings. And, one auxiliary benefit of the budget pressures the university has confronted has been a wider appreciation of the efforts of staff and their importance to the health and smooth functioning of the institution, as evidenced by faculty and alumni surveys attesting to this view (SSSC faculty survey, alumni survey?)

Conclusion

Upon examining the financial, physical, technology, faculty and staff resources utilized by the University in fulfillment of its mission, it is fair to conclude that these resources are being employed effectively to meet shared institutional goals. The university's strategic plan has framed how resources should be prioritized and allocated and in a number of noteworthy cases, its strategies have been implemented. Some of the accomplishments that have arisen in the decade since the last comprehensive evaluation team visit, for example, include the implementation of more stable financial investment strategies and the growth of the endowment as a bi-product of those strategies. There has been significant progress toward the completion of a major capital campaign and capital construction has proceeded in concert with the priorities outlined in the Master Plan. A student body that remains exceedingly capable and increasingly diverse has been consistently recruited while a favorable 11:1 student/faculty ratio has been maintained. A robust program in support of faculty development exists, and a tuition benefits program for the dependents of non-exempt staff has been created. The number of faculty and staff positions has stabilized, and some administrative reorganization has occurred that better addresses institutional needs and initiatives.

As comprehensive a list as this is, there are significant challenges, that will make it more difficult for the university in the future to maintain the educational quality it provides. Those challenges include the inherently uncertain nature of revenue streams that are highly tuition dependent, and the limited degree to which the current endowment and annual fund can assist in broadening revenue acquisition in the short-term. They further include the need to secure additional funds for building construction and maintenance, the necessity of allocating stronger financial support for technology initiatives and the Office of Instructional Technology, and the need to invest more heavily in human

resources, particularly with regard to staff and faculty professional needs, along with increasing the compensation available to them. There is no question that the University is committed to and plans to address these challenges, particularly those that involve technology and human resources concerns. And, it should be reiterated that in some of the notable areas have received attention in this report, the University has had historically, particularly over the past decade, a significant record of noteworthy accomplishment. However, with regard to the technology and human resource domains, the need to address the challenges that their current state presents is extremely strong and pressing.

2c. The organization's ongoing evaluation and assessment processes provide reliable evidence of institutional effectiveness that clearly informs strategies for continuous improvement.

One cannot fully appreciate the strength of evaluation and assessment processes at Illinois Wesleyan University without examining the role that the Office of Institutional Research and Planning plays in facilitating the coordination of these processes so that they are conducted in an efficacious manner. Because the Assistant Vice President for Institutional Planning, Evaluation and Research, as director of the OIRP, not only sits on the President's cabinet but also plays an active role on the Strategic Planning and Budgeting Committee, he is able to insure that that data is shared with as wide a group of university constituencies as possible. At Illinois Wesleyan, data is not simply gathered and stored in inert spaces, but is disseminated in ways that reinforce an institutional commitment to transparency. But even if information is gathered and then disseminated, if the assessment and evaluation processes do not encourage the constructive *use* of the data to encourage informed and inclusive decision-making, then these processes remain inauthentic and superficial.

The importance of establishing a peer/aspirant group of higher education institutions has been previously mentioned, as this referent serves to guide how much of our data is collected, analyzed and referenced. Yet the historical process through which a relevant peer/aspirant group of institutions is chosen represents an illustrative case study as to how information gathering and planning activities can be inherently intertwined and inclusive, and how they can be used to enhance collective decision-making on an institutional level in a pragmatic fashion. An account of this process, whereby a careful balancing act is implemented, paying due attention to the needs of seeking comparison from institutions that are like one's own with those with stronger profiles, is noted below. It is further instructive to observe that as this process evolves, data with greater reliability is collected to make the case for a change in the composition of the comparative group.

In 2004, the Strategic Planning Steering Committee based on a review of Web-based and published resources, selected 12 institutions using a number of characteristics to be emulated including academic programming, the academic environment and external resources. The 12 institutions were as follows: Carleton College, Colorado College, Denison University, Franklin & Marshall College, Grinnell College, Ithaca College, Kenyon College, Macalester College, Oberlin College, Rhodes College, St. Olaf College and Wesleyan University.

In 2008, a new peer similarity study was presented to the Strategic Planning and Budgeting Committee to provide another perspective for defining peer institutions. Based on financial resource and proximity variables, the intent of the report was to raise questions and affirm beliefs regarding assumptions in selecting peers. Using the 2004 aspirant peer group as a baseline and the 2008 peer similarity study as a resource tool, the SPBC decided to examine additional institutions to make the case to add or delete a school based on comparative information - both qualitative and quantitative. By the end of the spring semester, Grinnell College, Ithaca College and Wesleyan University were removed from the list, while DePauw University, Rhodes College, Lawrence University and Augustana College were added. These revisions were based on a number of factors including endowment, admissions competition and programming characteristics (e.g., liberal arts, fine arts, and pre-professional).

In 2010, the SPBC engaged in further discussions concerning peer institutions to further refine IWU's benchmarking group to provide a more balanced set of institutions for comparison purposes, i.e. a list of both aspirant institutions and current peers. As of 2008, the list was almost exclusively aspirant institutions. The SPBC agreed that Knox College and The College of Wooster would replace Colorado College and Oberlin College on IWU's present benchmarking peer group. Knox was added because we compete regularly for the same students. Wooster was added because it is a liberal arts institution of comparable size and resources. It was suggested that this group of colleges and universities be referred to as the "Peer/Aspirant Group." (taken from Benchmark Report, 2010).

Of course, the Office of Institutional Research and Planning and the Strategic Budgeting and Planning Committee are by no means the sole structures involved in institutional planning, even if their importance is indisputable. For example, the various actors involved in ensuring that various budgets are balanced, whose work products are monitored by the President and the Board of Trustees, also include the Vice-President for Business and Finance, who continuously monitors progress toward keeping budgets balanced and is involved in making budget projections; the Provost/Dean of the Faculty, who regularly assesses financial allocations across academic units; the Dean of Enrollment Management, who works with the Director of Financial Aid to assess enrollment and financial aid trends and projection models; the Vice President for Advancement, who assesses progress in reaching fundraising goals with a focus on the capital campaign; and, the Board of Trustees Investment Committee, whose members evaluate the University's investment portfolio and work to assure that it is properly diversified and performs well relative to peer institutions. Members of this committee also determine whether the investment policy meets conditions of "social responsibility" in its composition. A brief examination as to how assessment processes function within various university areas gives further evidence regarding the comprehensive nature of the institutional commitment to engage in assessment as an endemic part of budgeting and planning processes. The methods of gathering and analyzing data within various units are eclectic, including internal assessments such as surveys, interviews, and statistical information, as well as external assessments including peer/aspirant group data collected through the Integrated Post-secondary Education Data System, sponsored by the National

Center for Educational Statistics, national student survey data (NSSE, CORE, YFCY, CIRP, CSS, CLA, etc.), external reviews, and external consultants.

Financial Planning

As has been noted, the budgeting process is initiated by the Vice-President for Business and Finance, who in reporting to the President, and in consultation with members of the Strategic Planning and Budgeting Committee develops a budget that is approved the Board of Trustees. That budget is based upon policies approved by the Board that involve endowment growth and management, while taking into account annual fund and major gift donations and account enrollment and retention projections. In reviewing these policies and the assumptions behind them, the Board also is given an annual audit of university finances, prepared by KPMG, and the reports of credit rating agencies, the two most recent of which are Moody's June 2011 and Standard and Poor's December 2010 reports (found in XXXX). The S and P report upgrades the IWU rating outlook from "Stable" to "Positive" (BBB+ rating), giving external validation that the institution is financially sound and credit worthy. IWU's outstanding debt as of July 31, 2010 was \$79.9 million. While interest payments on the debt represent a draw on the budget, payments have been reduced through successful efforts to refinance over \$30 million of this debt at more favorable fixed rates (See "First Supplemental Loan Agreement Between Illinois Wesleyan University and the Illinois Finance Authority"). However, the administration is committed to not increasing debt obligations at the current time, even for new physical structures. The current commitment is to not start construction on new buildings until fully funded through gifts and grants even though the university could enter into credit markets if it felt the need to do so. The reasons given by Standard and Poor for their positive rating along with the areas of concern that they express, reaffirm what the internal data has illustrated with regard to the general financial health and a few of the future challenges the university will confront. For example, indices of the institution's financial strength include,

[a] Stable enrollment of about 2,100 undergraduate students: very high student quality, with an average entering freshman ACT score of 28; and a strong demand profile;

financial resource ratios that are strong for the 'BBB' rating category, with 2010 unrestricted resources equal to 75% of operating expenses and 91% of total debt;

Improved operating performance, following several years of operating deficits, with operating surpluses in fiscal 2009 and fiscal 2010 on a full accrual basis;

A \$169.4 million endowment as of Sept. 30, 2010, representing \$81,060 per full-time-equivalent (FTE) student;

and a manageable maximum annual debt service (MADS) burden of about 6%, with no additional debt plans.

On the other hand, the reasons why the report was not even more favorable included, the university's high tuition dependence of 81% in 2010, coupled with a limited geographic draw (albeit a strong base that includes the Chicago metropolitan area), and flat growth in net tuition income between fiscal 2009 and 2010, combined with modest increase in its

discount rate. External evaluations such as this one not only give planners confidence with regard to the wisdom of their decision-making, they also reiterate the importance of other strategies that affect the financial health of the university, such as those areas that form the focus of the capital campaign. It is not surprising, for example, that the general focus of the capital campaign upon developing and expanding the institution's human resources and student scholarship assistance, not only speaks to the University's strategic plan, but also aims to address weaknesses noted in the Standard and Poor Report. In this case, planning practices and assessment findings illustrate an optimal degree of congruence that serves the institution well.

As the planning required to launch and complete a successful capital campaign is exhaustive in its own right, the University Advancement Office and other individuals gathered assessment information in the pre-planning stages of the campaign, to take steps that would enhance its potential success. History has shown that a campaign's success is determined largely by the ability to secure major gifts (i.e., \$50,000 and above). It is typical that 85%-90% of the dollars raised in a campaign will come from 10%-15% of the donors. With this in mind and a campaign goal of \$125 million, the initial focus for growing the advancement staff concentrated on major gift officers. In addition, research conducted by the IWU advancement staff indicated a need to grow the major gifts staff in order to cultivate and steward the large number of major gift prospects. At the start of the *Transforming Lives* campaign the data elements revealed over 5,800 households which met the major gift prospect level. In order to connect with these prospects over the course of the campaign it was essential that the advancement office add major gift officers to its staff which in fact occurred.

Physical Resources

Mention has been previously made of the importance of the Master Plan, in influencing long-term planning in support of the physical resources of the campus. It should be noted here that as the Plan has taken organic form, there has always been widespread consultation between architects, administrators, faculty, staff, and students, as plans are designed and buildings are constructed. For example, with regard to the planning of the New North building, faculty and students were consulted, not only with regard to their aesthetic preferences, but also with regard to how they used space for teaching, learning, and studying, as well as the types of furniture, equipment and technology they would feel most comfortable utilizing. The data gathered from those consultations has proven invaluable in the actual planning of buildings such as New North and the Minor Myers, jr. Welcome Center.

However, broad consultation and input as a part of the planning process are not limited to large capital projects. There is an ongoing assessment of construction, renovation, and maintenance for all types of physical resources supported by a process that is designed to be inherently inclusive. Although overall responsibility for these matters lies within the President's Office, the Vice President for Business and Finance and the Director of the Physical Plant monitor much of the state of campus physical resources. In addition, the Associate Provost has been assigned oversight responsibilities for some major building projects. The Capital Projects Group, which in 2010-2011 consisted of Vice President for Business and Finance, the Director of Physical Plant,, the Vice-President of Student

Affairs and Dean of Students, and the Assistant Provost and Chief Technology Officer), plays an important role in determining resource allocations between projects. While they do not make allocation decisions for the largest building projects that are often funded through private gifts, they are integrally involved in the allocation of resources toward important and often expensive renovation, renewal and maintenance projects. Examples of the types of projects that they might be involved with include installation of elevators or sprinkler systems in existing buildings, the replacement of roofs, and the upgrading of computer hardware. The Capital Projects Group annually solicits requests for funding of renovation and renewal projects from many units on campus; they carefully rank these projects in light of the budget allocated for renovation and renewal and make their recommendations to the President. Thus, the Capital Projects Group functions as an evaluation unit that systematically assesses the relative merits of renovation and renewal projects by allowing units to make a case for those projects that affect their areas. Major projects are monitored carefully and are often the subject of discussion at Cabinet and SPBC meetings. Indeed new construction projects, and renovation and maintenance proposals are also frequently on the agenda at the President's cabinet meetings. Of particular concern in these discussions is whether projects are within budget and are meeting university objectives of promoting a safe and accessible community in a sustainable manner. In short, both with regard to long-term and short-term evaluations of the university's physical needs, consultative mechanisms are constructed to be essential elements in the budgeting and planning processes.

Technology Resources

A significant amount of information that the Office of Information Technology Services has gathered to assess its work and the resources it utilizes to complete its work has come from Gene Spencer's report, prominently referenced in this review. However, the OITS has also used the Higher Education TechQual+ survey instrument as a means of assessing the technology needs of the campus community and has found the information gathered from that survey to be quite useful. The development of the Higher Education TechQual+ survey instrument was collaborative effort among multiple higher education institutions whose aim was to create a standardized, scientifically valid instrument that assesses the quality of services delivered by technology organizations in higher education. The survey not only assesses the organization's IT services, it provides benchmarks and comparisons between other participating institutions. In its material form, The Higher Education TechQual+ core instrument is a web-based survey that requires approximately 20 minutes to complete. It asks respondents to provide evaluations regarding minimum expectation levels, desired service levels, and perceived service levels for up to 30 types of technology services commonly delivered in higher education. The survey also allows for open-ended questions to obtain feedback on specific topics of interest to the organization. To date, the TechQual+ survey has been used repeatedly at IWU to assess the technology needs and aspirations of the campus community. A survey of faculty, staff, and students was conducted in 2007 while a student survey was conducted in 2008. The faculty and staff were surveyed again in the Spring of 2009. ITS uses the surveys to get a clear idea of how the campus community feels about how it is doing, and allows its staff to learn of the resources and services the campus community desires. The survey results are also used to establish priorities among

IT projects.

Students

The use of continuous assessment for the purposes of programmatic improvement is an intrinsic part of the planning process within the Student Affairs division, a unit that has been exemplary in its utilization of an evaluative process to inform strategies for improvement. Departmental review processes using the Council for the Advancement of Standards in Higher Education (CAS Standards) have been conducted in the areas of career services (2007), fraternity and sorority life (2009), counseling and consultation services (2009) and residential life (2010). Through the CAS system, departments engage the campus community in internally evaluating its programs. This is done by a committee of members of the faculty, staff and student body and follows a procedure similar to that of the HLC self-study process, with regard to evidence gathering and evaluation. Following the completion of this internal process, an external review team is selected to come to the University for typically three days to assess the work of the internal group using campus focus groups and interviews, while examining professional and best practices. The CAS process has been very thorough and has had an impact upon staffing patterns, policies and practices in each department. For example, it was noted that the Hart Career Center was understaffed, while the Office of Residential Life required additional training and supervision for first-year staff programming. In addition, the Counseling and Consultation Services Office has been working to diversify its staff because of the feedback gained from the CAS process. Information concerning CAS standards and procedures may be accessed via the following link: <https://www.cas.edu/index.html>.

Indeed, the staffing of the Counseling and Consultation Services unit was directly affected by a decision to assess its capacity as a result of a January 2006 discussion between the Board of Trustees and the Director of Counseling and Consultation Services. Subsequent to that discussion, national and university-specific trends regarding the increasing demand for student mental health services were examined. Benchmarking data regarding student to counselor ratios was collated and presented, revealing IWU's ratio of 700 students per counselor (700:1), which was greater than any of our aspirant institutions. In March 2006, IWU's Counseling and Consultation Services was given permission to hire a full-time 10-month counselor with benefits. The new counselor joined the University in the fall of 2006, resulting in an adjustment of IWU's student-counselor ratio to 455:1, an acceptable level as compared to our aspirant institutions regarding university counseling center staffing (the findings of the CAS review of the Counseling and Consultation Services Office are described at length in the discussion of criterion 5). It should also be noted that this new full-time position replaced a part-time position, and that position was subsequently absorbed by the Hart Career Center to assist in the fortification of their services for students.

Within another important area affecting students, a University task force embarked on a yearlong evaluation over the 2005-2006 academic year to address issues of student athletes' health and welfare. As a result of the task force's work, a number of recommendations were made to the President concerning athletic personnel, equipment,

transportation, literature and training. An Athletic Department Handbook (<http://www.iwusports.com/>) was developed, as was an Athlete Hydration Protocol and Heat Exertion Illness Protocol. In August 2006, the University hired an additional full-time athletic trainer to supplement the athletic staff to address student needs. It is clear that in all of these areas affecting student life, data has been systematically gathered, shared, and used to improve the quality of services provided to students.

Faculty and Academic Affairs

Earlier, mention was made of the changes that were approved with regard to the allocation of tenure lines, in light of the financial condition of the University. It is useful to revisit this process in more detail because such decisions deeply involve the use of assessment information for planning purposes. Because the hire of a tenure line professor implies a potential life-long commitment to that individual on the part of the university, allocating lines that will have long-term institutional benefit is an absolute necessity. Thus, it is useful to note how the revised criteria for tenure-line allocation have been enumerated in specific terms, with particular regard to what it means to demonstrate that a person holding the position could address a “range of [institutional] interests,” how programmatic needs should be defined, and what enrollment data are relevant in considering a tenure-line request. In all of these areas, the language of the faculty handbook is explicit.

Thus, “range of interests” can include institutional mission, as well as the primary major/minor program(s) to be served by this position...; other programs (including disciplinary and interdisciplinary) [that might be positively affected through a successful hire]; all-university programs (including General Education, May Term, Writing Program); student interest in the area; and, external accreditation or professional certification criteria. With respect to “programmatic need,” faculty handbook language states that

Programmatic needs should be based on a realistic assessment of where a department, school, or program should be. The argument for a program's needs may be supported by results from an external review and/or survey of peer institutions. Programmatic needs should be demonstrated by reference to **all** of the following: program profile, vision, goals; current curricular needs; expected program benefits and outcomes; student requirements (programmatic and/or professional).

Finally, tenure-line proposals are evaluated according to enrollment data, specifically, the ability of a successful proposal to address enrollment pressures, defined as: strains induced by high student demand for courses presently offered in a department, school, or program. Enrollment pressures should be demonstrated by reference to statistical evidence, including some (but **not** necessarily **all**) of the following: units generated per FTE a high ratio of majors or minors per tenure line, and reliance on non-tenure track faculty to teach core courses. (Faculty Handbook, chapter IV, page 8).

The use of relevant data for planning purposes does not end within the Academic Affairs unit with the hiring of new tenure-line faculty, of course, but is continued as they progress through the tenure and promotion ladder. As stated in the Faculty Handbook

(chapter IV, page 11), “Faculty members are evaluated for tenure on the basis of competence and experience in classroom teaching and responsibilities associated with classroom teaching, completion of professional training, scholarly/artistic ability and achievement, and constructive contribution to the University.” Tenure is decided on the basis of merit, not on the basis of an explicit or hidden quota system. Teaching effectiveness is defined not only in terms of subject matter mastery but the ability “to stimulate students' intellectual development.” (2010-2011 FH, chapter IV, pp. 12-13). Artistic and scholarly achievement involve “Contributions to the broader intellectual/artistic community that go beyond individual professional development...” “These contributions may take a variety of forms, but it is expected that in most cases they will involve engagement with the profession beyond the institution.” (2010-2011 FH, chapter IV, page 14). With regard to service, “it nevertheless expects that every faculty member demonstrate willingness and ability to share in those collegial responsibilities necessary to the effective functioning of the institution.” (2010-2011 FH, chapter IV, p.14).

The criteria for promotion support these basic principles but in ways that are appropriate for an individual who has had the opportunity to work within the academy in a successful way. It is clear that these criteria support an institution whose mission primarily involves undergraduate teaching, recognizes the important link between teaching and scholarship, and understands that a community of this type cannot function without the active participation of its faculty in service related matters. The evidence that is presented in support of these criteria include analyses of student evaluations, course syllabi, classroom visitations on the part of one's supervisor, samples of published work and/or artistic presentations, and evaluation letters from one's department chair and colleagues in a position to comment upon one's candidacy, as well as external letters that speak to the quality and significance of one's professional engagement. The tenure and promotion system is thus rigorous and quite dependent upon an analysis of different types of evidence that are offered in support of the criteria enumerated above. Visiting and contingent faculty, while not subject to an evaluation process of the same rigor, nonetheless, are given feedback regarding their course evaluations by their department chairs, and are visited regularly by their supervisors. This data is reported to the Associate Provost who makes the ultimate decisions regarding the hiring and retention of non-tenure line faculty. In both of the cases involving the assessment of tenure-line and visiting and contingent faculty, individual performance is tied to larger institutional concerns, with the relationship between departmental requests for enhanced staffing and the assessment of individual faculty performance being quite seamless.

As of 2006, a system of departmental external reviews (further described in the discussion of criterion 3) was put into place, with the first review occurring in 2007/2008. Since that time, eleven of 34 departments and programs have undergone external reviews. It is clear that the external review process is not viewed simply a pro forma exercise, for as has been noted, it can be tied to tenure-line hiring and often serves as an impetus for curricular and policy reform and revision. More importantly though, it has offered assistance as departments as they engage in planning with regard curricular revision and reform, to better address the learning goals they have established for their students.

Within the Academic Affairs unit, planning also occurs on a broader level. In November, 2006, for example, a Strategic Curriculum Planning Task force was created to examine issues including: internationalization and study abroad, writing instruction, the Gateway colloquium, May Term, interdisciplinary programs, information literacy, opportunities for student learning beyond the traditional classroom setting, and the relationship of majors to the general education program. (Provost Strategic Curricular Review memo, 2006; <http://www.iwu.edu/provost/facgov/curricular/charge.shtml>) The SCPT completed its report in 2008 and in so doing, it gathered and examined data focusing upon the use of classroom space, the effectiveness of campus-wide curricular programs including general education and its relationship to disciplinary programs, the instructional technology needs of faculty, and the extent to which faculty were able to adequately present the information and skills necessary for our students to be conversant in their disciplines. In addition, considerable environmental scanning was conducted whereby the curricular offerings at peer/aspirant institutions was gathered and analyzed.

The SCPT report noted that there was a tension between delivery of general education courses and courses within the discipline, that departments felt pressure to adequately deliver their curricula, such pressure was exacerbated by the tensions posed by the needs to staff interdisciplinary programs, and that technology resources on campus were insufficient. Authors of the report specifically expressed the hope that this would be the beginning of a strategic curricular review process rather than its culmination. In 2008, in an effort to address concerns regarding the need for the campus to engage in long-term strategic curricular planning, the position of Associate Dean of the Curriculum was created, with the first occupant accepting the position beginning in August 2009. In recent years, members of the campus Curriculum Council and the Associate Dean of the Curriculum have gathered data on many levels for the purpose of assessing the General Education program (see discussions of criteria 3 and 4). A model for general Curricular Strategic Planning has been presented to the faculty and to department chairs, to be put in place for the 2011/2012 academic year.

Sometimes, enhancing students' academic success requires broad cooperation among university units whereby issues that transcend narrow organizational boundaries can be addressed. One recent example occurred over the 2006-2007 academic year. Using data elements collected from student surveys, focus groups and individual interviews, the Office of Institutional Research & Planning and the Assessment Task Force identified a number of areas where the University could improve its advising efforts through the enhancement of resources and services for students and faculty. These assessment efforts, with the assistance of a grant from the Arthur Vining Davis Foundation, led to the establishment of the IWU Academic Advising Center and the appointments of a director of academic advising and a part-time office associate in 2008. These are staff positions within the Academic Affairs unit, working closely with faculty, students, the Registrar's Office, and Student Affairs staff. More information concerning the Academic Advising Center is available via the following link: <http://www.iwu.edu/advising/> and its creation and development are further described in discussions of criteria 3, 4, and 5.

It is clear that within the Academic Affairs unit, assessment plays an important role with respect to the individual faculty member and her/his career development, the department

with which one associates, the unit itself, and the broader institution as a whole. Information in support of evaluation and future planning initiatives is shared and it is used to further individual development and programmatic improvement. It is collected in multiple forms and is regularly reviewed. And, its collection is consistent with broad principles defined within institutional documents whose legitimacy is accepted without question such as the Faculty Handbook and the Strategic Curricular Planning Task Force report, as well as through the use of external reviews, be they with regard to an individual or a program's performance.

Staff

In an effort to create a formal means for the President to communicate University matters to staff and elicit opinions and recommendations of the staff on matters of concern to them, the President established the Staff Council in 2005. This body consists of nine elected exempt and non-exempt staff members and the Associate Vice President for Human Resources (ex-officio). Additionally, with noteworthy representation on the Strategic Planning and Budgeting Committee and the University Council on Diversity, and visitor status afforded the convener of the Staff Council to Board of Trustee meetings, significant efforts have been made since 2003 to more directly involve staff in discussions of issues of importance to their own work and to the university as a whole. Their input thus serves to offer important feedback to decision-makers and planners at higher administrative levels.

An example of the above can be found in the process through which the assessment of staff performance was revised. As a result of the efforts of the University's Human Resources Office, and with the counsel of the IWU Staff Council, the general evaluation mechanism for assessing staff performance has been standardized. In 2007, a performance review process for non-exempt staff was reinstated to include a revision of the form used for this procedure, addressing requests for changes that were recommended by supervisors and staff. In 2008, the review process for exempt staff was also reinstated. The intent of these review processes has been one of increasing productive communication between supervisors and staff personnel through operating according to principles of inclusion and consultation.

Perhaps the most positive administrative change to occur affecting staff since 2003 has been the implementation of a tuition benefits program for dependents of full-time non-exempt staff. In the 2003 Report of a Comprehensive Evaluation Visit, the visiting team affirmed the IWU Self Study Report recommendation to extend tuition benefits to the children of all IWU employees. As a result of these recommendations, the University added a tuition benefit for non-exempt staff. Legal dependents of full-time nonexempt staff that have completed a minimum of five years of full-time service to the University may enroll at IWU as full-time students without tuition charge provided they are accepted through the regular admissions process. In addition, the University joined the Council of Independent Colleges Tuition Exchange Program in 2005 to enhance the benefit for all University employees. The CIC-TEP is a network of over 350 colleges and universities willing to accept, tuition-free, students from families of full-time employees at other CIC-TEP institutions.

Conclusion

It is clear that Illinois Wesleyan University gathers, shares, and uses an abundance of information that is informative in documenting institutional effectiveness, and is then applied toward the creation of significant institutional improvement. Data collection at IWU involves the use of qualitative and quantitative measures, created and distributed internally and externally. Surveys, interviews, audits, peer reviews, external reviews, and the mining of data from national sources for comparative purposes have all been used in order to view institutional strengths and challenges through an objective lens. The creation of a peer/aspirant comparison group has specifically undergone a number of reiterations to become more realistic and useful for planning purposes. But it is equally important to note that the data that is collected is not stored in inert silos, but is shared with a wide number of university representatives, thereby obtaining useful feedback that will contribute to rational planning and decision-making at all levels. University representatives are able to make informed evaluations as to what that data means because information is contextualized within frameworks that are widely understood, whose assumptions are shared: the Strategic Plan, the Master Plan, principles regarding faculty hiring and tenure and promotion, etc. When the data collection process taps into a diverse set of sources that are also comprehensive by nature, and when institutional planning uses that data to further a set of strategic goals that articulate clear priorities that are commonly shared, it minimizes instances of capriciousness, inattention to detail, or ineffectiveness with regard to the use of information to facilitate institutional improvement. And, this is the case with assessment and evaluation processes at Illinois Wesleyan University. All higher education institutions confront significant challenges, and Illinois Wesleyan is certainly an example of the general principle. However, this is an institution that knows what its challenges are, and has been able to affirm its shared values while providing an education of considerable quality to an exceedingly capable student body. It could not do this without taking assessment and evaluation seriously, or without embedding them within the planning processes that share congruence and sophistication among all of its administrative levels.

2d. All levels of planning align with the organization's mission, thereby enhancing its capacity to fulfill that mission.

To this point, evidence has been provided in support of the argument that the Illinois Wesleyan University community participates in institutional planning, obtains and allocates resources in a rational manner, provides for assessment and evaluation mechanisms that assist in decision-making processes, informs members of university of the reasons for and the consequences of those decisions, and gathers information in support of institutional planning and budgeting that is then used to effect policy change. There are specific mechanisms tasked with this responsibility that have been identified, some of which include, the President and Provost offices, the President's cabinet, the Strategic Planning and Budgeting Committee, the Council on University Programs and Policy, the Capital Projects Group, and the offices of the Vice-President for Business and Finance, Student Affairs, Dean of Enrollment Management, Institutional Research and Planning, and Instructional Technology. Two themes are evident through examining institutional planning at Illinois Wesleyan.

First, planning occurs in conjunction with budgeting at all levels. A number of examples are illustrative of this contention. The fact that the University has created a functioning committee with campus wide representation to assess *both* planning and budgeting efforts, that these responsibilities are clearly stated within its mandate, and that its actual name is reflective of this mandate, gives evidence that the two processes have been recognized as synergetic and mutually dependent. A close reading of the University strategic plan, particularly Goals III (Human Resources) and VI (Financial Resources) demonstrates that the strategies that are enumerated for the purposes of achieving these goals directly refer to broader values within the institutional mission, even though the strategies respect and reaffirm the importance of responsible budgeting. For example, the allocation of human resources is directly tied to the mission goals of “*diversifying and internationalizing the campus, creating a sustainable campus, and providing disability services.*” *The importance of structuring compensation systems is tied to fairness and equity (in support of the value of social justice, expressed within the University mission statement), as well as its salutary benefit of enhancing productivity (strategy C).* In *Strategy E of the Financial Resources goal, it is argued that* “effective conservation and renewal programs” can “control operating costs, promote environmental sustainability, and preserve our physical assets in a sound fiscal manner.” Thus, the case that is made for sustainability, which is a key component of the University mission statement, is directly linked to the need to preserve fiscal responsibility. A final example of the recognition of the importance of tying the planning and budgeting processes together involves the Strategic Curricular Planning cycle, presented to the faculty by the Curriculum Council’s Academic Standards Committee during the Spring of 2011. Within this cycle, it is clearly argued that curricular planning must involve an understanding of resource demands and needs, early in the planning stage, and that such an understanding must be a part of all curricular decision-making as the process proceeds and evolves. (Strategic Curricular Planning PowerPoint slide).

A second consideration involves the fact that planning at IWU doesn’t occur at cross-purposes and is in fact well-coordinated. Clearly, documents such as the *report of the 2003 comprehensive evaluation visit team to Illinois Wesleyan University*, the *Growth and Challenge* self-study report, the University Strategic Plan, the Master Plan, and the Spencer technology report have framed the context in which planning and budgeting occur. They have given direction and structure to the planning and budgeting processes, and have helped to establish priorities in each of the areas for which they are responsible. They have additionally created benchmarks that have made it easier to measure institutional progress in these areas during the interval since the last HLC accreditation review. Although a number of accomplishments have been noted with regard to planning and budgeting at IWU, a good way to appreciate the effectiveness of the planning and budgeting processes is to examine the ways in which some of the key values within the University mission statement have found expression in concrete terms over the past decade. The collective efforts that involve the entire University in creating a culture that affirms the importance of sustainability offer evidence for this point.

Although the importance of sustainability had been recognized on the campus as early as the 1990s, it wasn’t until a Green Task Force was formed in 2000 that coordinated efforts to embrace sustainability began in earnest. The Task Force issued a report in 2001 that

examined how much energy IWU was using, and the degree of pollution the University was creating. It then became transformed into the Green Network that now effectively coordinates all campus sustainability efforts. The Network includes students, faculty, staff, and administrators and has embarked upon a number of important initiatives including the implementation of a campus wide composting effort (discussed in length with reference to criterion 5), the installation of bicycle racks on campus, the expansion of organic food options with student meal plans, the elimination of plastic trays in the dining halls, the creation of a hydration station that facilitates the use of reusable water bottles, the purchasing of double-sided printers in the library and the use of recycled paper stock in the library for printing purposes, and the mandatory dimming of library computer screens after fifteen minutes of usage. All-campus “ dumpster dives” encourage physical plant staff, students, and faculty to examine what constitutes a day’s waste, as participants become aware of the significant amount of good food and useful materials that are regularly thrown away. In addition, considerable effort has been made to address e-waste issues as aged computers are recycled and/or given to non-profit and charity organizations. Additional efforts in recent years have included the transitioning to online core faculty documents including handbooks and the training of residence hall staff to assume sustainability educator responsibilities. Pesticide is now used only when necessary with regard to grounds maintenance, a newer floor cleaning machine has been employed for use in the Athletic Center that uses ionized water, and no-till and strip-till practices are now utilized on University owned farmland. Finally, the University has leased some of its land allowing for the construction of windfarms in the surrounding community.

(http://www.iwu.edu/iwunews/magazine/pastissues/10_Winter/green_main_1.shtml).

It is significant that the Minor Myers jr. Welcome Center is the first building prospective students and their parents will visit when arriving on the campus. It also was the University’s first fully “green” building, having earned LEED certification as a result of its geothermal heating, fluorescent lighting, and a traction elevator powered by a small motor rather than an electric pump. As noted in an article for the IWU alumni magazine,

A recycle trash unit is located just inside the Welcome Center door. Families are offered drinks in reusable ceramic mugs that feature the IWU logo on one side and a double-meaning exhortation to "Think Green" on the other. There are no vending machines in the building, just an energy-efficient refrigerator and an honor system. To cut down on printing, the admissions department employs a "JIT" (Just In Time) system that prints brochures only as needed, using lightweight paper. Even a picnic table outside the center is composed of 3,200 recycled milk jugs.

(http://www.iwu.edu/iwunews/magazine/pastissues/10_Winter/green_main_1.shtml)

The construction of the new classroom building is also progressing with sustainability concerns in mind, but what is perhaps more important is that a mindset regarding the importance of adhering to sustainability principles has been initiated in all areas of campus life. Thus, decisions to replace lighting fixtures in the Shirk Athletic Center, or laundry machines in residence halls are being made according to sustainability principles.

Such a mindset does not develop if campus leadership is uninvolved or disinterested. The decision made by President Wilson to sign the Talloires Declaration, a national ten point action plan designed to incorporate sustainability principles within the higher education environment, on April 13th, 2007, is thus noteworthy in this vein. The Sierra Student Coalition collaborated with the President, the Provost, faculty, staff, and students to tailor the document to the needs and capabilities of the University. Later, in 2009, University officials signed onto the Illinois Sustainable University Compact.

The anchor that grounds University wide sustainability efforts is the Environmental Studies curricular program, established in 1999 with an academic major approved in 2005. Currently, there are approximately 40 students who are ES majors, completing courses from sixteen professors in the various disciplines, and pursuing internships and research experiences with their faculty. For example, organizations such as the Ecology Action Center, Greenpeace, Illinois EPA's Governor's Environmental Corps, The Nature Conservancy and several organic farms have provided internship opportunities to Environmental Studies majors. In addition, a number of students pursue environmental and sustainability research through completing May Term and study abroad experiences. Because the interdisciplinary major has grown in popularity, an eclectic number of speakers as well as co-curricular activities involving sustainability themes are planned throughout the academic year. The joint IWU/ISU chapter of Habitat for Humanity, for example, not only has received national recognition for its efforts, but is building LEED certified housing in McLean County (<http://www.iwu.edu/habitat/>). During the 2011-2012 academic year, faculty, students, and staff have organized a year long symposium devoted to the theme, "What We Eat: Why it Matters," whereby lectures, discussions, films, and numerous co-curricular events have been planned, all of which are linked to formal courses devoted to this subject matter. Indeed, in 2006, a campus wide two day sustainability workshop attracted faculty, staff, and administrators from across the University, and it encouraged further work involving curricular reform and campus wide engagement with sustainability issues.

Conclusion

Sustainability represents one important area involving University values as expressed within its Mission documents that has received the concerted attention of the entire campus community. However, the planning, coordination, and enthusiasm for embracing the values encapsulated by a commitment to sustainability are also present in other discrete areas embraced by the Mission documents too. Whether it be the promotion of diversity, or a better understanding of issues involving social justice, civic engagement, or globalization, numerous coordinated efforts are planned on a regular basis that involve University numerous constituencies, and these efforts are discussed in different contexts throughout this report. The work that makes these initiatives possible and lead to their successful implementation are illustrative of both the fundamental strengths and the basic challenges that confront the Illinois Wesleyan University community with regard its efforts to effectively plan for the future. Over the summer and fall of 2010, the IWU Self-Study Steering Committee administered a survey, soliciting faculty and staff perspectives concerning the overall strengths and weaknesses of the University, as well as their

thoughts concerning the role their department, program or unit plays in the operation of the University within the context of accreditation criteria. Both faculty and staff rated the dedication and competence of their colleagues as being the major strength of the university. Faculty also mentioned the quality of the students attending IWU as being a major strength while some noted the combination of liberal arts and pre-professional programs as giving the institution particular distinctiveness. But for the most part, it is clear that faculty and staff appreciate the dedication and the effort of their colleagues, as the following comments from the staff survey attest.

“Most employees are incredibly dedicated and loyal to IWU, and are therefore almost always giving maximum effort toward the success of the institution.”

“The Faculty and staff. These people are committed to making the IWU experience one that will shape the students for the future.”

“People! The University is blessed with people who care deeply for the institution and give maximum effort to make things work well.”

Nonetheless, there was broad agreement that overachievement can only go so far, and that workload pressures along with compensation limitations and reductions have had a deleterious effect upon faculty and staff morale. So, while concern was also expressed with regard to the need to improve physical plant, capital equipment and technology resources, both faculty and staff believed that they need stronger collegial and personnel support in their respective areas with respect to expanding the number of staff and faculty hires. Both groups also believe that their compensation is inadequate given their workload, effectiveness, and level of accomplishment that they have been able to maintain during extremely difficult economic circumstances. Certainly, such responses have been influenced by the two-year salary freeze and reduction in retirement contributions, which was discussed earlier. But it is also instructive to examine current morale issues when compared with those that were discussed in the *Growth and Challenge* Report and the report of the 2003 comprehensive evaluation visit team, because of the similarities and differences that are so evident.

In 2003, low faculty morale was specifically tied to governance issues, as many faculty believed that they were uninformed with regard to administrative decision-making and were excluded from being a part of that process. Communication with the university administration was viewed as problematic. Staff morale was influenced not only by high workload and low compensation issues, but additionally involved beliefs regarding their ascribed second-class status within the university community. The lack of a tuition benefits program for dependents of staff members should be viewed in this context.

In 2011, the challenge of raising morale among faculty and staff remains, but for the most part, contemporary morale issues are related to economic considerations, as they affect compensation and workload. The progress the University has made with regard to improving transparency and inclusivity within the planning and decision-making processes is generally acknowledged to be a positive outcome of the previous

accreditation review. But it is fair to conclude that the source of those concerns regarding morale questions has changed since 2003, as have the challenges embedded in the need to improve morale among faculty and staff. It should finally be reiterated that without minimizing the seriousness of the importance of increasing faculty and staff morale, the institution has functioned quite effectively, as the list of achievements directly related to the university mission attests. In looking toward the future, however, it is clear that IWU cannot continue to rely upon the good faith and effort of its faculty and staff to deliver the level of quality that currently exists, without rectifying its limited support for existing human resources.

A List of Strengths and Challenges

A number of strengths and challenges have been discussed with reference to Illinois Wesleyan University's ability to prepare for its future. Institutional strengths and challenges have been mentioned with reference to the budgeting and planning process, the use of financial resources, data collection, programmatic assessment and evaluation, and the coordination of planning initiatives throughout the campus. Presented below is a summary in bullet point fashion, of the conclusions that have arisen as a result of this extended discussion.

Current Strengths

- Effective use of University Mission Statement, Strategic Plan, and Master Plan to coordinate planning efforts that have included all important campus constituencies while encouraging enhanced transparency in the planning process.
- Tight coordination between planning and budgeting with a systematic use of data to inform planning decision-making, and assessment.
- University finds itself in a stable financial situation and a successful capital campaign has been launched with nearly \$91 million out of the \$125 million dollar goal having been reached.
- Construction of Minor Myers Jr. Welcome Center and beginning construction on New North Classroom building address institutional needs as outlined in the Master Plan while other capital projects (such as the Joslin Atrium, Ames School of Art entrance and atrium) have improved the quality of campus life and have contributed to the maintenance of a beautiful physical plant.
- Strong, talented student body that is academically capable and increasingly more diverse, supported by a dedicated, talented, and effective faculty and staff.
- Work force has remained stable in spite of the severe effects of the economic recession.
- Tuition benefits program for staff dependents and a child-care facility for children of faculty and staff, jointly managed with Illinois State University and Advocate Bromenn Medical Center now exist.
- Faculty diversity is representative of percentages within aspirant/peer group institutions.
- Extensive faculty development program.

Current and Future Challenges

- In spite of progress made during the previous accreditation review, planning and budgeting decisions need to be communicated to all faculty and staff in more effective ways.
- Planning and budgeting decisions need to be executed with greater flexibility, allowing contingency planning to occur early on during crisis situations.
- Greater base of support for annual fund and other flexible sources of revenue need to be created, in addition to current capital campaign efforts.
- Greater investment in technology resources, including expanding bandwidth capacity and infrastructure improvements, is needed on a short-term and long-term basis, while the student financial aid budget needs to be increased and strengthened to address changing family demographics with particular regard to affordability.
- Successful recruitment strategies need to be broadened to other geographical areas to account for increased competition for students from the Chicago area while more consistency in enrollment patterns from year to year needs to be established.
- Staff compensation needs to be improved significantly to meet comparable compensation packages at peer/aspirant institutions and a work-load analysis of staff activity needs to be completed to determine how to rationally allocate staff work across the campus, allowing for the reallocation of positions to need areas when general vacancies occur.
- Staff merit pay system needs to be implemented and faculty compensation levels need to be raised as quickly as possible to reach AAUP 80th percentile benchmarks.
- Phased and early retirement program needs to be enacted to create institutional flexibility while allowing eligible and interested faculty and staff to prepare for their retirement.
- Faculty development funding needs to be stabilized to maintain existing programs and opportunities.

Conclusion: Illinois Wesleyan University has successfully fulfilled the requirements of criterion 2 in support of the HLC accreditation process.