

Assurance Argument
Indiana University Southeast - IN

8/21/2019

Criterion 5
Resources, Planning, and Institutional
Effectiveness

5 - Resources, Planning, and Institutional Effectiveness

The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

5.A - Core Component 5.A

The institution's resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future.

1. The institution has the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered.
2. The institution's resource allocation process ensures that its educational purposes are not adversely affected by elective resource allocations to other areas or disbursement of revenue to a superordinate entity.
3. The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution's organization, resources, and opportunities.
4. The institution's staff in all areas are appropriately qualified and trained.
5. The institution has a well-developed process in place for budgeting and for monitoring expense.

Argument

5.A.1.

From Fall 2006 to Fall 2018, credit hours have increased and decreased in direct relationship to the regional unemployment rate (as illustrated here: [2749](#)). Since the last comprehensive visit, fall enrollment has steadily declined from a high-water mark of 73,800 credit hours in Fall 2011 to a level that is slightly lower than Fall 2006.

During this 12-year period of rising and falling enrollments, IU Southeast has successfully maintained and managed its financial, human, and physical resources to support its mission and operations. The total general fund budget for fiscal year 2019 (FY19) was \$56.6 million, with 69.1 percent (\$39.1 million) allocated for personnel-related expenditures ([2037](#)). For purposes of comparison, the general fund budget was \$54.8 million in FY10, with 65.7% allocated for personnel-related expenditures. State operating appropriation was \$20.1 million in FY19, compared to the high-water mark of \$20.8 million in FY10 ([2038](#)). From FY10 to FY12, state operating appropriation declined by \$1.9 million due to statewide reductions in higher education funding. Since FY14, the state operating appropriation has increased \$1.2 million due to favorable outcomes related to the state's performance funding metrics. Despite budgetary challenges due to enrollment trends and patterns, the campus's budgetary strategy has avoided laying off faculty or staff. In fact, the campus has been able to add academic programs and faculty lines as a result of sound fiscal management.

Since the last comprehensive visit in 2010, full-time instructional salaries as a percentage of tuition revenue have increased from 60.5 percent in FY10 to 61.4 percent in FY19. Full-time staff salaries as a percentage of tuition revenue have decreased from 34.4 percent in FY10 to 27.0 percent in FY19. There are three primary reasons for the decline in staff salaries (as a percentage of tuition revenue). First, the university implemented a shared services performance improvement process between 2010 and 2012. The shared services model moved common back-office functions in the Admissions, Bursar, Financial Aid, and Registrar offices to University Student Systems and Services (USSS: [2625](#)) at IU Bloomington, allowing the IU Southeast campus to focus on student-facing functions (for more information about USSS and its mission and goals, please see: [2009](#); [2010](#); [2011](#)). Second, our campus Information Technology group was moved from the campus chart of accounts to University Administration in FY14. This change had the effect of moving IT staff salaries from compensation (within our financials) to university assessment (a deduction from our financials). Lastly, the staff salary percentage reflects personnel reductions in the last two years that resulted from a budget realignment initiative. Campus leadership closely monitors staffing levels in all support units to ensure that human resources are sufficient to support campus operations. Some campus constituents suggest that the Cabinet is less transparent at the decision-making level than it is at disseminating its decisions, suggesting an opportunity for growth and improvement.

The physical campus is comprised of fourteen buildings and five residential lodges totaling 783,000 square feet, with 100 percent wireless access to the campus network. Our physical space inventory includes five academic buildings with approximately 140 classrooms, labs, and meeting spaces, all equipped with the latest instructional technologies. From 2010 to the present, the campus has completed 108 capital projects totaling \$27 million in value ([2019](#)). The majority of funding came from state-funded capital appropriations and R&R (repair and rehabilitation) allocations.

Indiana University is a Big Ten and national leader in information technology infrastructure, systems, services, and capabilities. The Office of Information Technology (IT) at IU Southeast is represented by the Chief Information Officer (CIO) and IT leadership team ([1690](#); [1985](#)). IU's regional IT departments, including IU Southeast's, are part of University Information Technology Services (UITs), which provides seamless system-wide IT services. The guiding document for IT is: Empowering People: Indiana University's Strategic Plan for Information Technology ([2000](#)).

IU Southeast's IT staff and resources report to a Regional CIO who is a member of the Office of the Vice President for IT (OVPIT: [2002](#)). "The Regional CIO directs the regional campuses to work together to deliver consistent and coordinated system-wide services, while maintaining their distinctive campus identities" ([1985](#)). Coordinated services include infrastructure and other services that parallel those provided by UITs on the Bloomington and Indianapolis (IUPUI) campuses. The Regional CIO is responsible for oversight of campus-level research technologies, IT training and education, student technology centers and consultants, classroom technology services, user support, telephone operations, systems development, data network, and media production and video services ([1986](#)).

IT maintains and provides access to a campus-wide data network, as well as access to the statewide I-Light ([2626](#)) high-speed fiber network connecting all IU campuses. The IT department is the primary technology resource for the campus. With the intent of being a complete user service, yet mindful of limited resources, IT accepts computing function-related questions, comments, or requests from IU Southeast personnel and students and makes every effort to provide appropriate support.

In addition to traditional customer support, IT consults on all new campus construction and renovations, ensuring that the technology infrastructure is designed and installed properly, with an

eye toward future needs and opportunities.

One of the most significant and far-reaching changes for the campus since the last comprehensive visit in 2010 has been the advancement of online education. Presently, over 20 percent of all campus sections are taught online (2017). From 2010 to 2018, IU Southeast jumped from last to second place among IU regional campuses in online credit hour enrollment and production. Further, IU Southeast has received HLC approval for distance education and has significantly increased the number of available online programs through collaborative agreements with other IU campuses (e.g. 1478), contributing to the growth in online credit hours.

IU Southeast supports online instruction through campus-funded initiatives and support from the IU Office of Online Education (OOE: 2003). One of the first moves to support online instruction was to convert the position of director of the Institute for Learning and Teaching Excellence (ILTE) from part-time to full-time. A third support position, instructional designer and technology specialist, was subsequently added to the ILTE team. This position supports Quality Matters (1409) training and peer review, leading to Quality Matters certification of online and hybrid courses (2580). Additionally, the campus provides ongoing training to faculty for both hybrid and online course development, as well as grants to faculty for online course development and peer review. The Office of Academic Affairs has funded Strategic Excellence grants for faculty members pursuing Quality Matters certification for their courses (1669). For its part, OOE also provides administrative assistance for state regulatory filings, delivers student support services across all campuses, and serves as the convener of academic and faculty leadership for the IU system (1996; 2004).

Since the last comprehensive visit, IU Southeast has moved its Graduate Center (1779) in Jeffersonville, IN, to a location near the original campus site, which is in close proximity to downtown Louisville, Ky. With this relocation, the campus achieved a 46 percent increase in space with only a 14 percent increase in occupancy costs. This 5,600 square foot facility is equipped with four state-of-the-art classrooms, study spaces, an IT support desk, a faculty office, and a kitchenette.

5.A.2.

Responsibility Centered Management (“RCM”) is a hallmark of IU’s resource allocation process. IU Southeast is a separate RCM unit within the IU system. Accordingly, all revenues attributable to IU Southeast are credited to the campus chart of accounts. Similarly, all expenses attributable to the campus must be funded by the campus chart of accounts (see discussion of IU support below). Campus leadership must ensure that total operating expenses remain in alignment with revenues.

The campus is charged an assessment to cover its share of funding for selected IU system services. The assessment charged to all IU campuses provides full or partial funding for twenty university units, such as the Office of the President, University Academic Affairs, Alumni Relations, Office of Affirmative Action, Capital Planning and Facilities, General Counsel, Public Affairs and Government Relations, and International Affairs (to name a few). As a percentage of the total general fund budget, the assessment has ranged between 10.1 percent and 10.6 percent since FY14 (2037).

Within the campus chart of accounts, revenue and expenses are attributed to each of the six main revenue-generating schools. In 2013, the Vice Chancellor for Administration and Finance and the Executive Vice Chancellor for Academic Affairs worked collaboratively to develop a reporting process to monitor the financial performance of each school for a five-year period that includes the fiscal year just ended and the four preceding fiscal years. The result was a “delta” report that shows the change in surplus/deficit each year during the five-year period (e.g. 2643; 2644; 2645; 2646;

[2647](#); [2648](#)). Looking at the change in surplus/deficit (vs. the surplus/deficit itself) by school provides insightful information regarding the underlying drivers for campus-level changes in financial performance from year-to-year.

The campus resource allocation process has allowed it to support academic programs and devote additional resources to student success. All existing and new position requests must be approved by the campus Cabinet, which places the academic mission of the campus as the highest priority ([2755](#)). Campus allocations follow a rigorous budget construction process, with input and monitoring by a Faculty Senate Budgetary Affairs Committee and annual recommendations by a Campus Budgetary Advisory Committee ([1629](#)).

An annual budget conference with IU's Executive Vice President for Academic Affairs, along with oversight of the budget construction process by the University CFO and University Budget Office ([2627](#)), ensure that resource allocations are consistent with campus and University missions and strategic plans. The Vice Chancellor for Administration and Finance ([2117](#)) submits periodic documentation to the University Budget Office for the purpose of reporting year-end projections, budget assumptions and allocations, and year-end financial results. Additional transparency and appropriate resource allocation are supported by annual presentations to the campus community by the Vice Chancellor for Administration and Finance.

5.A.3.

The campus completed an extensive update of its five-year strategic plan in 2015 ([0299](#)). The new plan will guide campus goals, objectives, and initiatives through 2021. The updated plan includes revised vision, mission, and diversity statements.

The campus mission continues to focus primarily on Southern Indiana and the Greater Louisville metropolitan area. In recent years, the construction of campus housing has allowed IU Southeast to recruit students in neighboring Indiana areas adjacent to its service region. Our academic program portfolio continues to be primarily undergraduate ([2664](#)); however, IU Southeast has been adding graduate programs to leverage its proximity to Louisville and capitalize upon the economic growth in the region. This growth is due, in part, to the construction of two bridges over the Ohio River, the completion of the interstate freeway that is a major feeder to campus, and the development of a nearby major commercial site.

IU Southeast continues to make student success a major priority and is mindful that a student population that is largely comprised of Pell-eligible and first-generation college students requires consistent, data-informed attention. With that in mind, IU Southeast has been a member of the HLC's Persistence and Completion Academy (see responses from the PCA: [2249](#)) and the campus was also one of 44 institutions selected as part of the AASCU's Re-Imagining the First Year Initiative. These efforts have contributed to recent improvements in graduation rates. The campus's four-year graduation rate has more than doubled, increasing to 20.7 percent in 2018, and ICHE reports that the campus' six-year graduation rate that includes students transferring out to other IN institutions is now at 43.7 percent ([2317](#)).

Another aspect of our persistence strategy involves the pursuit of Carnegie Classification for Community Engagement. We recently added "community" to our mission statement and have allocated resources to support this important mission component (this is concrete support for Blueprint 2.0: The Strategic Plan for the Regional Campuses of Indiana University: [0792](#)). The Office of Academic Affairs established the Office of Community Engagement to concentrate and

coordinate efforts in this important area. IU Southeast utilizes the *Collaboratory* (2342) as a means of tracking the community engagement of the campus to ensure consistency with mission. To further support the IU Southeast community mission, the Office of Academic Affairs supports the Regional Research and Creativity Initiative, a grant program that supports community-linked faculty research and creative activity (1843). This supports the Indiana Commission for Higher Education's regional campus mission policy document (2044).

5.A.4.

IU Southeast maintains and follows policies for the recruitment of qualified staff in all areas (2736; 1977; 2755); for a summary of practices, please read the following article: 2665. As outlined by Indiana University Policy HR-03-40 (2649), all staff positions have a detailed position description, specifying the duties, responsibilities, and required professional/academic qualifications of the position (2641; 2642). All position descriptions are reviewed by the Cabinet prior to filling vacant positions.

Additionally, IU Southeast has adopted new hiring policies for faculty to ensure that they meet HLC expectations of faculty qualification (1867). IU Southeast Academic Affairs established an Adjunct Faculty Scholars Program that provides financial incentives to adjunct faculty to pursue professional and teaching development. Academic Affairs also established an annual Adjunct Faculty Scholars Conference to support the professional development of adjunct faculty at IU Southeast and in the region, collaborating with other institutions to foster excellence among part-time instructors. Further, the Office of Academic Affairs subsidizes adjunct faculty attending the IU FACET's Adjunct Faculty and Lecturers' Conference (FALCON: 1990), an annual gathering devoted to the professional needs of lecturers and adjunct faculty members at Indiana University.

Various IU and IU Southeast offices provide training opportunities throughout the year for all IU Southeast employees. The supporting offices include IU and campus Human Resources (1997; 2008), Equity and Diversity (2062), Police and Public Safety, University VPCFO units (2015), University Information Technology Services (2058), and IU Southeast Administrative Affairs units (1864; 2386). IU Southeast faculty and staff pursue training through both on-campus means and Canvas sites populated by Indiana University (2662). Required training is tested and monitored for participation.

IU's Office of General Counsel oversees employee training for topics that are regulatory in nature (1994). Examples of training topics presented by the office include:

- Indiana's Access to Public Records Act
- Foreign Corrupt Practices Act
- Key Issues in Contracts
- Copyright Issues
- Student Welfare Initiative
- Title IX and Student Judicial Processes
- Due Process in Student Disciplinary Matters
- Attorney-Client Privilege
- Fiscal Officer Training
- Family Educational Rights and Privacy Act (FERPA)
- Immigration Process
- IU's Intellectual Property Policy

From FY10 to FY18, the campus has invested over \$1 million in the professional development of faculty and staff (2036). Professional development activities include external conferences, workshops, and technical/professional training sessions.

5.A.5.

As a regional campus of Indiana University, IU Southeast has rigorous processes in place for budgeting and monitoring expenses, which are outlined in section B of the Administrative Affairs Policies and Procedures Manual (PPM: 1577). The budget construction process starts each year with a campus-wide e-mail from the chancellor that provides overarching themes and direction for the upcoming budget cycle. The Office of Accounting Services then issues detailed budget instructions that guide account managers through the process (e.g. 2035). All new budgetary requests are made annually to the Cabinet during the budget construction process. Additional requests throughout the year and the refilling of positions must be approved by the Cabinet. This ensures that all budgetary allocations are monitored on an ongoing basis. The campus meets with IU leadership annually for a budget conference, and campus leadership submits an end-of-year budget report demonstrating that allocations are consistent with the campus mission and the University's strategic plan.

Indiana University's Information Environment (IUIE: 2057) contains an extensive library of financial reports to help account managers monitor revenue and expenses down to the object code level. Account managers are required to reconcile accounts monthly (see PPM section B-3: 2635), and all campus contracts must be reviewed and approved by the central University Budget Office. Individual campuses or units within the campus may not enter into any contract without central approval. The campus also has two fiscal officers who work closely with academic units and other divisions to assist and advise on financial matters. The two fiscal officers meet with account managers throughout the year regarding financial affairs and expenses (2636).

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06 May 2019

5.B - Core Component 5.B

The institution's governance and administrative structures promote effective leadership and support collaborative processes that enable the institution to fulfill its mission.

1. The governing board is knowledgeable about the institution; it provides oversight of the institution's financial and academic policies and practices and meets its legal and fiduciary responsibilities.
2. The institution has and employs policies and procedures to engage its internal constituencies—including its governing board, administration, faculty, staff, and students—in the institution's governance.
3. Administration, faculty, staff, and students are involved in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

Argument

5.B.1.

IU Southeast provides regular reports to the IU Board of Trustees (BoT: [1716](#)). Board members receive routine information such as enrollment and budgetary updates, as well as specific reports on matters such as diversity (for a comprehensive archive of BoT meeting minutes, see: [2208](#)). All new academic programs must be approved by the BoT. The campus Chancellor regularly attends board meetings. The Office of University Academic Affairs ([2628](#)), which oversees all regional campuses, attends all BoT meetings and provides frequent information on all regional campuses. Additionally, University Academic Affairs maintains regular contact with the Indiana Commission for Higher Education. University Academic Affairs represents the campus at Commission meetings and presents new program proposals. The IU BoT has a practice of holding periodic meetings on each of the IU campuses ([1653](#)), with Trustee meetings held at IU Southeast in November 2014 and 2018.

5.B.2.

Indiana University has an extensive online library of policies and procedures (which are centrally located and accessed here: [2039](#)). These govern the day-to-day operations of the institution. University policies cover and are organized by the following areas:

- Academic, Faculty, and Students ([2040](#))
- Administrative and Operational ([2041](#)) Financial ([2046](#))
- Human Resources ([2048](#))
- Information and Information Technology (IT) ([2049](#))
- Research ([2051](#))

IU has a strong history of shared governance, and this tradition is clearly evident at IU Southeast. The campus has a Faculty Senate whose executive leadership meets monthly with the Chancellor and Executive Vice Chancellor for Academic Affairs. The senior leadership Cabinet also regularly attends monthly Faculty Senate meetings. The Faculty Senate President and Executive Vice Chancellor for Academic Affairs meet monthly. Additionally, the Faculty Senate President is a member of the Regional Faculty Caucus (RFC: [1983](#)), a group of Faculty Senate Presidents from all

regional campuses. The RFC meets monthly with University Academic Affairs Leadership. The current Faculty Senate President, Joe Wert, served as co-chair of the University Faculty Council (UFC: [1989](#)) and provided regular updates on faculty matters and accomplishments to the BoT. Campus chancellors serve on the Regional Campus Cabinet ([2005](#)) and meet regularly with senior leadership of University Academic Affairs, and all regularly attend BoT meetings. Executive vice chancellors of the regional campuses sit on the Council for Regional Campus Excellence ([2006](#)) and meet regularly to discuss university academic policies and collaborative opportunities. University Academic Affairs holds an annual Chancellor's Summit with participation of campus chancellors, executive vice chancellors, deans, and faculty senate leadership. Two recent outcomes that point to shared governance include action items related to learner focus and community engagement. Meetings of deans, unit heads and coordinators provide further avenues for discussions of academic policies to reach all constituencies. Additionally, for the past three years, University Academic Affairs has convened the regional campus Executive Vice Chancellors and respective Faculty Senate Presidents. Recent items of discussion included excellence in teaching, student success, and enrollment trends

The Campus Budgetary Advisory Group (CBAG: [2640](#)) has broad representation across campus and makes specific strategic budgetary recommendations (e.g. [2020](#); [2021](#); [2022](#); [2023](#); [2024](#); [2025](#); [2026](#); [2027](#); [2028](#); [2650](#)). Evidence shows that CBAG recommendations have been regularly approved, adopted, and implemented by campus leadership ([2651](#)).

A Faculty Senate Budgetary Affairs Committee meets regularly with the campus CFO and proposes annual recommendations (for the official charge of the committee, see: [2505](#)). The campus CFO serves as a resource to the Faculty Senate Committee and provides information on an ongoing basis. The Faculty Senate President sits in on all budget construction hearings and provides feedback to the senior leadership team regarding specific budgetary requests. Student representatives serve on selected administrative committees and on the Campus Budgetary Advisory Group.

The campus maintains an active Board of Advisors (BoA) that assist the Chancellor in advisory issues (for a full list of Advisors, see: [2653](#)). There is also an active committee structure that advises the campus' senior leadership on strategic direction (for a full list of advisors and committees, see [2633](#)). Additionally, an active Staff Council ([1706](#); [2639](#)) engages and represents all IU Southeast staff on vital issues. Representatives of the Staff Council serve on key campus committees and have representation on the Faculty Senate.

In 2017, Indiana University hired the Gallup organization to conduct an employee engagement survey of all full-time staff on all campuses. The survey gauged the extent to which staff members felt like they were "getting, giving, belonging, growing, and being included" (attributes of engagement) in their respective workplaces. The resulting ratings for our campus were higher than the IU sample for all 12 of the core questions in the survey. On a scale of 1 to 5 (1=low, 5=high), the "grand mean" for the campus was 3.94, compared to 3.69 for the entire IU system ([2493](#)). The engagement survey will be conducted every 2 to 3 years from this point forward.

5.B.3.

Processes exist for the setting and changing of academic requirements and policy ([1751](#); [1753](#)). Academic curricula and policies are determined by the faculty (Faculty Senate meeting minutes demonstrate this fact and provide examples of curricular and policy changes from 2011 to 2019: [2606](#)). All academic policy changes or new academic programs begin with the Senate Academic Policies Committee, after approval of respective program and academic unit faculty (for

the official charge of the committee, see: [2505](#)). New academic requirements or policies from the Academic Policy Committee are then proposed to the Faculty Senate. All academic programs approved by Faculty Senate must then be approved by senior administration before commencement of the off-campus approval process. Selected programs must also receive approval from university-wide bodies that include the Academic Leadership Council and the Board of Trustees. Programs must then be approved by the Indiana Commission for Higher Education.

Faculty Senate committees regularly conduct business that supports the academic and administrative missions of the campus, and administrative committees provide important input on such matters ([2633](#)).

Student representatives sit on key governance committees, including the Campus Budgetary Advisory Group, the IU Board of Trustees, and the Indiana Commission for Higher Education (ICHE). Additionally, the Student Government President serves as a nonvoting member of Faculty Senate ([1708](#)).

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5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

1. The institution allocates its resources in alignment with its mission and priorities.
2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.
3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.
4. The institution plans on the basis of a sound understanding of its current capacity. Institutional plans anticipate the possible impact of fluctuations in the institution's sources of revenue, such as enrollment, the economy, and state support.
5. Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.

Argument

5.C.1.

Budgetary requests must provide linkage to the campus strategic plan and mission. Budget managers must be able to show and justify how such requests link back to the mission and the strategic plan (see PPM B-2: [2637](#)).

The Academic Council, which is continuously evolving its processes, includes a standing agenda item of planning and budgeting (please see two examples of agenda items: [2660](#); [2661](#)).

Student success initiatives are among the highest priorities for our campus and Indiana University. In 2015, the University approved a student success fee for all regional campuses to generate additional funding for new student success initiatives. This new fee (\$25 per student per semester) has funded approximately \$473,700 in new student success initiatives ([2060](#)). The following list is an example of the types of initiatives that were introduced at the Southeast campus:

- Persistence, automatic, and peer mentor scholarships
- A full-time persistence coordinator
- Ruffalo Noel Levitz Retention Management System
- AASCU training and development
- Co-Requisite model implementation
- Mentoring Center Collegiate Success Institute
- Summer Bridge programs
- "Degree In 4" programs
- Ad Astra HESI Dashboard project (2658)
- Gateway Course Re-Design

5.C.2.

The budget request process requires the presentation of assessment data and program review findings. In addition to showing consistency with the campus strategic plan, budgetary requests must

also be accompanied by summary assessment data and any information regarding program reviews (2065; 2638). This allows the Cabinet to identify potential strengths and opportunities and allocate resources to effectively support strategic priorities of the campus.

Assessment is a standing agenda item for the Academic Council (see examples of agenda items: 2660; 2661; 2666; 2667). This includes assessment of student learning, co-curricular experiences, and key areas of student affairs, administrative affairs, and advancement. Assessment and program review summary data were added to the budget construction process and receive consideration for budget requests (e.g. 2065; 2780). Additionally, the Academic Council was established for the purpose of sharing assessment and program review data across academic leadership and the Cabinet (for example of agenda, please see: 2660). This is a process that continues to evolve, and additional work is needed to improve.

5.C.3.

Strategic planning continues to be a campus-wide initiative. All faculty, staff, students, and internal stakeholders have opportunities to provide input. In the Fall 2016, the Chancellor convened an executive leadership retreat. Senior administrative leadership, along with deans and directors, gathered for a three-day overnight retreat to discuss and deliberate priorities in the strategic plan and potential actions for implementation (see agenda for the leadership retreat for a list of priorities discussed: 0396). Additionally, the Board of Advisors was able to provide input and analysis to the plan (see sample of BoA minutes: 2698).

At the start of each academic year, campus chancellors, executive vice chancellors, and deans meet in Bloomington to discuss possible strategic initiatives of the regional campuses collectively. Recent initiatives emerging from this retreat include the drive of the regional campuses to distinguish themselves as learner-focused institutions and the enhanced commitment to community engagement.

5.C.4.

The Course Inventory Initiative in Academic Affairs is an example of planning that reflects current capacity. Academic units engage in “strategic scheduling,” utilizing sophisticated data tools provided by the university. Some used a third-party vendor such as Ad Astra (2629). The goal has been to maximize the effectiveness of resources by reducing poorly attended sessions while continuing to deliver academic excellence to all students. As a result of planning from the Course Inventory Initiative, the campus reduced spending on part-time faculty instruction by approximately \$600,000 over a multiple-year period (2037). Since the initial use of Ad Astra, the university has added AM 360 (2668), a series of data dashboards providing actionable information about such things as enrollment, wait lists, and financial performance.

Over the last 18 months, the campus demonstrated its ability to adjust to changing conditions in a proactive, strategic manner. As mentioned in Section 5.A.1., the campus has endured a seven-year decline in credit hours since FY12. The campus started FY18 with a structural deficit of \$1.6 million. The main causes of the deficit were multi-year credit hour declines (due to a “red hot regional economy”) and employee headcount levels that were out of alignment with current revenue levels. Specifically, Fall 2017 credit hours were slightly lower than Fall 2006 credit hours; however, employee headcount was approximately 40 FTE’s higher than 2006 (30 faculty and 10 staff). Immediately following the approval of the FY18 operating budget by the Trustees in June 2017, campus leadership implemented spending controls and started to work on a significant budget reduction plan. The spending controls were focused on personnel vacancies, part-time faculty and

staff, travel, hospitality, sponsorships, memberships, and general operating expenses. The budget reduction plan, as reported to the University Budget Office, outlined a comprehensive realignment of the budget to current revenue levels. Simultaneously, the campus continued its work on the five following strategic priorities:

1. **An increased focus on “adult” learners.** Last fall, the campus launched a new web site that makes it easier for “adult” learners to find online and evening programs ([1587](#)). Academic programs also revised course schedules to support more evening and online course delivery. The result was a significant increase in the number of adult-friendly programs.
2. **Growth of graduate programs.** As mentioned above, graduate credit hours are on the rise following five years of declines. A new Master of Science in Nursing was rolled out in Fall 2017, and a new Master of Science in Management and Master of Arts in Mental Health Counseling began in Fall 2018. As commented on in other sections above, several other graduate programs are in various stages of University, Trustee, and ICHE approval.
3. **Continued growth of online education and regional campus collaborative programs.** IU Southeast has jumped from last to second place among regional campuses for online credit hour enrollment and production ([1988](#)).
4. **The implementation of a strategic enrollment management program.** The campus has engaged EAB-Royall for inquiry generation, application generation, and yield optimization services in 2018 and 2019.
5. **Continued focus on retention and completion.** Performance funding increased \$413,300 in FY18, the largest increase since FY09 ([2652](#)). Improvements in student retention and completion will lead to further increases in performance funding in future biennial budgets.

As a result of the above actions and strategies, IU Southeast ended FY18 with a budget surplus. The significance of this accomplishment cannot be overstated. Chancellor Wallace provided critical budget updates in January 2017, June 2017, September 2017, November 2017, and January 2018 (for emails, see: [2654](#); for history of budget messages, see: [2697](#)). Campus leadership worked diligently and effectively throughout 2017-18 to “right-size” the budget, resulting in a balanced budget for FY19.

Starting in 2013, the Vice Chancellor for Administration and Finance has provided a budget presentation to the campus community every summer (e.g. [2029](#); [2030](#); [2031](#); [2032](#); [2033](#); [2034](#)). The presentation includes credit-hour trends, funding strategies, major budget assumptions and highlights, and state appropriation performance funding progress. The sessions are well attended and have helped the campus community understand the major components and themes of the current year’s budget.

Academic Affairs recently supported the acquisition of Burning Glass Labor Market Insight ([2063](#)) and Burning Glass Program Insight, data resources that help educators track demand and build and align programs with what employers need. The acquisition of Burning Glass Labor Market Insight and Program Insight facilitates more targeted responsiveness to regional labor market trends, but this only amplifies longstanding campus efforts to serve the needs of the region. One recent example of our responsiveness to labor market trends is the development of the professional selling concentration in the School of Business, and the construction of the Sanders Professional Sales Center. A prior market analysis conducted by Deloitte had indicated a high anticipated demand in sales occupations in the Louisville metro area.

5.C.5.

IU Southeast subscribes to the Education Advisory Board (EAB: [1961](#)) Academic Affairs Forum, which is used extensively by Academic Affairs and other divisions as part of their ongoing planning. EAB representatives visit the campus and provide expert presentations based on its needs. Prior topics for presentations include efficient academic scheduling and integrating academic and career development. The Executive Vice Chancellor for Academic Affairs attends the annual EAB Provost Roundtable, an event that features the most recent best practice research and trends impacting higher education.

In anticipation of demographic shifts in the campus's geographic market, the campus recently invested in EAB's Royall and Company Prospects, Applications and Yield Optimization modules. This substantial financial investment will allow the campus to serve its vital mission in the region and do so in a financially sustainable manner.

University Information and Technology Services (UITs) positions the entire university favorably with respect to emerging technology. The campus benefits tremendously from the technological infrastructure built and maintained by UITs. An example of the support from UITs that allows the campus to respond to demographic shifts is the recent release of Academic Measures 360 ([2668](#)), an IU-wide platform that makes useful data—including financial records, credit hours, student majors and more—accessible to deans, department chairs and campus administrators in real time.

The Chief Information Officer and Executive Director of Information Technology attend the annual CES (formerly known as the Consumer Electronics Show) so that the campus remains at the leading edge of technology applications in higher education.

The Office of Academic Affairs supports attendance at annual AASCU Academic Affairs meetings and the annual convening of Complete College America, two venues that typically address emerging factors impacting higher education.

The Executive Vice Chancellor for Academic Affairs is also a regular attendee of the Lumina Talent Hub ([2061](#)) Annual Convening, an invitation-only event that focuses on college completion and emerging factors such as employment outcomes, transparency, and accountability.

Another example of our increasing emphasis on employment outcomes is the development of the BASES Program ([2055](#)). The BASES (business, arts & sciences, education, society) program encourages students to pursue minors outside of their academic discipline, thus diversifying their skills and competencies and increasing the likelihood of a successful employment outcome post-graduation (for additional data, see presentation: [2659](#)).

In keeping with its mission, IU Southeast strives to be responsive to emerging needs in the region, as they manifest themselves, often through community engagement. For example, the School of Natural Sciences was approached by a local healthcare system to develop a four-year program in medical coding, an urgent need across the industry. This led to the development of a degree in Health Information Administration ([2630](#)). The opioid crisis in Indiana and the consequential strain on mental health services spurred the development of the Master of Arts in Mental Health Counseling ([2007](#)). Transformations in the technology and business of journalism and communications drove the development of the Multimedia Journalism ([2042](#)) concentration. The campus established an Internet radio station, Horizon Radio ([2620](#)), to further prepare students for emerging technologies impacting certain industries. The concentration in Supply Chain and Information Management ([2052](#)) remains highly responsive to changes in the sector, based on intelligence from local industry (UPS) and the leading role played by IU Southeast faculty in the leading industry organization (APICS). Sensitivity

to generational interest in environmental conservation and social enterprise drove the construction of our new undergraduate degree in Sustainability and Regeneration (2053), while an EAB-commissioned study for graduate programs in the Louisville metro area led to the development of the Master of Science in Management (2050).

Numerous reports, including that produced by Deloitte in 2013, have predicted strong demographic shifts in our service area, notably a decline in traditional students and a rise in what are considered nontraditional and adult students (2631). To proactively meet this challenge, IU Southeast established the flexible programs website, featuring adult-friendly programs (cited in 5.C.4.). Additionally, the campus established the Crimson Advantage (1519) with Jefferson Community and Technical College (JCTC) to position the campus favorably in anticipation of reductions in traditional age students. The Office of Academic Affairs also supported participation in Degrees Work (2045), a consortium of several area universities that assisted adults returning to college, and from there, to the workforce.

An example of information on trends and intelligence received from Indiana University is the IU Southeast 2019 Campus Research Summary (2781). The purpose of this research was to evaluate marketing strategies in order to connect with prospective students. As a result, it contains useful data on enrollment patterns and trends, and the final report was submitted to the Cabinet in July 2019 for review.

Sources

- (0396) Agenda - IU Southeast Executive Leadership Retreat Roadmap to Our Future 18-20 September 2016 - 7 December 2016
- (1519) Website - IU Southeast Transfer Students Jefferson Community and Technical College (JCTC) and Kentucky Community and Technical College System (KCTCS) Crimson Advantage - 26 June 2018
- (1587) Website - IU Southeast Flexible Programs for Adult Students Evening and Online Programs - 28 June 2018
- (1961) Website - Education Advisory Board (EAB) Homepage - 14 August 2018
- (1988) Data - Indiana University Online Classes as of Official Census Spring Terms Only - 22 August 2018.pdf
- (2007) Website - IU Southeast Master of Arts in Mental Health Counseling Homepage - 22 August 2018
- (2029) Presentation - IU Southeast Fiscal Year 2014 Budget Overview by Dana Wavle - July 2014
- (2030) Presentation - IU Southeast Fiscal Year 2015 Budget Overview by Dana Wavle - July 2015
- (2031) Presentation - IU Southeast Fiscal Year 2016 Budget Overview by Dana Wavle - July 2016
- (2032) Presentation - IU Southeast Fiscal Year 2017 Budget Overview by Dana Wavle - July 2017
- (2033) Presentation - IU Southeast Fiscal Year 2018 Budget Overview by Dana Wavle - July 2018
- (2034) Presentation - IU Southeast Fiscal Year 2019 Budget Overview by Dana Wavle - July 2018
- (2037) Resource - IU Southeast Fourteen-Year Financial Summary General Fund Budget

- (Adjusted Base) - 22 August 2018
- (2042) Website - IU Southeast Journalism and Media Degrees Bachelor of Arts Multimedia Journalism Track - 23 August 2018
- (2045) Website - Degrees Work Homepage - 23 August 2018
- (2050) Website - IU Southeast Master of Science in Management Homepage - 23 August 2018
- (2052) Website - IU Southeast School of Business Bachelor of Science in Business Concentrations Supply Chain and Information Management - 23 August 2018
- (2053) Website - IU Southeast Sustainability and Regeneration Homepage - 23 August 2018
- (2055) Website - IU Southeast BASES A Cross-Campus Education Homepage - 24 August 2018
- (2060) Resource - IU Southeast Student Success Fee Initiatives Fiscal Year 2016 to Fiscal Year 2018 - 23 August 2018
- (2061) Website - Lumina Foundation Talen Hubs Homepage - 24 August 2018
- (2063) Website - Burning Glass Technologies Homepage - 24 August 2018
- (2065) Resource - IU Southeast Fiscal Year 2020 (FY20) Request for Funding Form - 28 November 2018
- (2620) Website - IU Southeast Horizon Radio About Us - 04 April 2019
- (2629) Website - Ad Astra Information Systems About - 04 April 2019
- (2630) Website - IU Southeast Allied Health Bachelor of Science in Health Information Administration - 05 April 2019
- (2631) Report - Deloitte Final Report Indiana University Support for Online Education Initiative - 08 June 2013
- (2637) Website - IU Southeast Office of Administrative Affairs Policies and Procedures Manual Section B-2 Budget Development Process - 13 April 2019
- (2638) Resource - IU Southeast Fiscal Year 2020 (FY20) Assessment Form - 24 January 2019
- (2652) Resource - Indiana University 2018-2019 Official Budget - 19 October 2018
- (2654) Email - IU Southeast Campus Budget Announcements from the Office of the Chancellor from 2017 to 2019 - 13 April 2019
- (2659) Presentation - IU Southeast Covering Your Bases A Holistic Approach to Career Preparation - 04 February 2019
- (2660) Agenda - IU Southeast Academic Council - 13 April 2018
- (2661) Agenda - IU Southeast Academic Council - 09 March 2018
- (2666) Agenda - IU Southeast Academic Council - 05 October 2018
- (2667) Agenda - IU Southeast Academic Council - 22 February 2019
- (2668) Website - Indiana University Am 360 Dashboard - 15 April 2019
- (2697) Resource - IU Southeast History of Budget-Related messages to Campus Community 2017-2018 - 27 April 2019
- (2698) Minutes - IU Southeast Board of Advisors 2015-2016 - 27 April 2019
- (2780) Resource - IU Southeast Fiscal Year 2020 (FY20) Request for New Faculty Position Form - 02 August 2019.pdf
- (2781) Report - IU Southeast 2019 Campus Research Summary - 29 July 2019

5.D - Core Component 5.D

The institution works systematically to improve its performance.

1. The institution develops and documents evidence of performance in its operations.
2. The institution learns from its operational experience and applies that learning to improve its institutional effectiveness, capabilities, and sustainability, overall and in its component parts.

Argument

5.D.1.

The campus conducts both periodic and annual operational assessments. Below is a representative sample:

- All Student Survey ([2391](#)): The 2017 survey measured student satisfaction with support units
- Annual Recent Graduate (Alumni) Survey ([2539](#); [2540](#); [2541](#); [2542](#))
- Biennial Dining Services Survey ([2655](#); [2656](#))
- Dining Services Consultant Review with Survey ([2663](#))
- University Employee Engagement Survey ([2493](#))
- Ad Astra Class Scheduling Assessment ([2658](#))
- 2018 Gallup Undergraduate Alumni Survey ([2047](#))
- Office of Residence Life and House Survey using EBI/Skyfactor ([2439](#))
- School Delta Reports (e.g. [2643](#); [2644](#); [2645](#); [2646](#); [2647](#); [2648](#))

The Office of Academic Affairs implemented a new and improved program review process in 2014. All academic programs undergo regular program review (see Criterion 4 for additional information on program review).

The entire university is audited annually by Indiana's State Board of Accounts ([2056](#)). The institution has a long history of receiving unqualified ("clean") audits. Consolidated annual financial reports dating back to 2001-02 (with audit opinion letters) are posted here: [1993](#).

To sharpen both availability and usefulness of data, the university launched AM 360 ([2668](#)), a comprehensive data dashboard that presents data on various performance metrics critical to academic operations. AM 360 presents real-time data at the campus, unit, and course level.

The Office of University Institutional Research and Reporting (UIRR: [2283](#)) completes myriad federal and state compliance reports and produces official university reports on admissions, enrollment, retention, graduation rates, degree completions, and financial aid for Indiana University and all its campuses. UIRR maintains and provides data that support IU's compliance-reporting, accreditation, decision-making, and strategic planning processes.

The Office of Online Education maintains a robust reporting structure on the online environment for both the campus and university and provides regular reports to the academic units in order that they might make informed programmatic decisions ([2657](#)).

5.D.2.

The Division of Administrative Affairs has a long track record for learning from its operational experience and applying that learning to improve effectiveness. Administrative Affairs is comprised of six operating units: Accounting Services, Human Resources, Facility Operations, University Police, Dining Services, and the Ogle Center ([2632](#)).

Accounting Services has developed and implemented a shared service model whereby financial services are provided to schools and departments, leveraging the expertise and experience of a highly qualified and efficient financial team. The model was developed from many years of operational experience regarding the financial capabilities of schools and departments. Over the last five years, three offices from three divisions (Accounting Services, Registrar, Financial Aid) have worked together to develop and plan a unified, “one stop” service model. In June 2019, Student Central will officially open in University Center South. The “one stop” service model has proven to be a best practice in higher education.

In collaboration with University HR, our campus HR department has streamlined the hiring process with the use of PeopleAdmin’s online application system. In addition, a major job framework redesign process is underway. This initiative will re-engineer traditional job classifications and position descriptions, focusing on job functions over titles and classification levels.

Through years of observation, our Facility Operations team learned that a grounds crew of 4 or 5 individuals is not capable of managing a 185-acre campus. Facility Operations leadership started subcontracting routine grounds tasks (mowing, mulching, planting, etc.) to service provider that has a crew of over 30 workers. The subcontracted crew can mow the campus in a matter of hours versus days. Facility Operations also implemented team cleaning to deal with staffing shortages and call-ins.

University Police hired part-time parking enforcement students to monitor to the parking lots and issue parking citations. This allowed full-time officers to dedicate 100% of their time to traditional law enforcement activities. University Police also updated the daily parking permit system in 2017-18. The new system, comprised of four solar-powered drive-up kiosks, allows individuals who do not have a campus parking permit to purchase a one-day permit. Each kiosk accepts cash, credit card, Crimson Card, or a special departmental code for invited guests (e.g., students making an Admissions visit). The combined effect of these changes is a dramatic increase in parking revenue with less human effort.

As mentioned elsewhere in our accreditation documentation, Dining Services conducts periodic surveys to assess operational performance. The surveys have led to new dining concepts, services, and options in response to student, faculty, and staff preferences. In 2014, the campus engaged Port Khouw Consulting to do a study of our dining program and provide recommendations for improvement (for a presentation of results, please see: [2663](#)). The study has been the basis for most of the operational improvements the campus has made in the last five years, including the addition of high demand franchises (Subway, Papa John’s). Franchised dining concepts tend to be more efficient and less costly, particularly for smaller dining programs.

The Ogle Center conducts ongoing surveys and focus group sessions with patrons and school administrators to identify opportunities for operational improvement. The insights that are learned from the surveys and focus group sessions are used to adjust the season programming and scheduling to meet patron needs. As a result, patron attendance has increased to record levels over the last five years. We have had more event sellouts in the last five years than the eighteen years prior.

The Academic Council serves as a body that reviews institutional effectiveness reports, assessment, program reviews, and surveys on operations. The group gathers monthly to review and discuss data and findings to keep overall institutional effectiveness at the forefront. This body was restructured for the specific purpose of review and analysis of data and reports with the ultimate intention of continuous improvement.

The campus makes adjustments based on the operational experience and assessment data. One example is the summer bridge program known as Fast Break. The Fast Break program was initially designed to assist and support students entering their freshman year at IU Southeast. The program was conducted for three years, with some success. Yet participation did not reach desired levels, so the program was terminated. Upon detailed review, the Office of Academic Affairs decided to resurrect elements of Fast Break that were critical to student success, namely intensive training in core math and writing skills, and scaled these up with resources diverted from the original summer bridge program. The resulting Math and Writing Boot Camps validated the institutional learning process, but a lack of student interest has resulted in a discontinuation of this opportunity.

Grant activity on campus has seen an increase of over 400 percent in the last three years. With the increase in activity comes an increased need for resources. Recognizing that quality of submissions is an important factor, the chancellor's cabinet responded with a broadened approach of review and approval to improve institutional effectiveness of the grant submission and execution process. Based on operational experience, a communication gap was identified between the primary investigator, dean, and cabinet especially in the areas of financial and human resource commitments. The improved process provides multiple opportunities for interaction on grant activity and reporting.

Such a change is not without controversy, however, and faculty members are awaiting evidence that this new system, which takes agency from faculty members, will yield positive results.

In fall 2016, the Alumni Engagement and Annual Giving Office conducted the first campus community campaign in over 17 years. Employee supported campaigns demonstrate to the community at large and granting agencies that employees are committed to the mission of the campus. Since reinstatement, employee participation in the annual campus community campaign has been on the rise and has increased as much as 20 percent.

Sources

- (1993) Website - Indiana University Office of the Vice President and Chief Financial Officer Resources Consolidated Annual Financial Reports - 22 August 2018
- (2047) Report - Gallup Poll Results for Indiana University Southeast Alumni Great Jobs and Great Lives 2018 Undergraduate Alumni Scorecard - 20 July 2018
- (2056) Website - Indiana State Board of Accounts Homepage - 24 August 2018
- (2283) Website - Indiana University Institutional Research and Reporting About - 31 January 2019
- (2391) Resource - IU Southeast FSSE-NSSE Combined Report 2018 - 25 July 2018
- (2439) Data - IU Southeast Office of Residence Life and Housing Survey Data Snapshot for Fall 2018 - n.d
- (2493) Data - IU Southeast Employee Engagement Survey Results - 10 April 2018
- (2539) Report - IU Southeast Office of Institutional Effectiveness (OIE) 2018 Alumni Survey

- Academic Council Report - January 2019
- (2540) Report - IU Southeast Office of Institutional Effectiveness (OIE) 2018 Alumni Survey Alumni and Community Relations Report - January 2019
 - (2541) Report - IU Southeast Office of Institutional Effectiveness (OIE) 2018 Alumni Survey Career Development Center Report - January 2019
 - (2542) Report - IU Southeast Office of Institutional Effectiveness (OIE) 2018 Alumni Survey Enrollment Management Report - January 2019
 - (2632) Website - IU Southeast Office of Administrative Affairs Policies and Procedures Manual Section A-7 Duties of Principal Administrators - 13 April 2019
 - (2643) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Arts and Letters) - 12 July 2018
 - (2644) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Business) - 12 July 2018
 - (2645) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Education) - 12 July 2018
 - (2646) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Natural Sciences) - 12 July 2018
 - (2647) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Nursing) - 12 July 2018
 - (2648) Resource - Five-Year Summary of Direct Revenue and Expenses (School of Social Sciences) - 12 July 2018
 - (2655) Survey - IU Southeast Dining Services Survey - 28 September 2017
 - (2656) Report - IU Southeast Office of Institutional Effectiveness (OIE) 2017 Dining Services Survey Full Report - June 2016
 - (2657) Website - Indiana University Office of Online Education (OOE) Reports - 15 April 2019
 - (2658) Report - Ad Astra Information Systems HESI Dashboard Checkup for IU Southeast - September 2017
 - (2663) Presentation - IU Southeast A New Vision for Campus-Wide Dining - 18 December 2014
 - (2668) Website - Indiana University Am 360 Dashboard - 15 April 2019

5.S - Criterion 5 - Summary

The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

Summary

During the 12-year period from 2006 to 2018, a time of rising and falling enrollments, IU Southeast has successfully maintained and managed its financial, human, and physical resources to support its mission and operations. Despite budgetary challenges due to enrollment trends and patterns, the campus has been able to add academic programs and faculty lines as a result of sound fiscal management.

Responsibility Centered Management (RCM) is the basis of IU's resource allocation process. IU Southeast is a separate RCM unit within the IU system. Campus leadership must ensure that total operating expenses remain in alignment with revenues. The campus's own resource allocation process has allowed it to support academic programs and devote additional resources to student success. IU Southeast has rigorous processes in place for budgeting and monitoring expenses, and the campus leadership submits an end-of-year budget report to IU leadership demonstrating that allocations are consistent with the campus mission and the University's strategic plan.

Campus leadership closely monitors staffing levels in all support units to ensure that human resources are sufficient to support campus operations. IU Southeast maintains and follows policies for the recruitment of qualified staff in all areas. Additionally, IU Southeast has adopted new hiring policies for faculty to ensure that they meet HLC expectations of faculty qualification. To extend support to non-tenure-track faculty, IU Southeast Academic Affairs established an Adjunct Faculty Scholars Program that provides financial incentives to adjunct faculty to pursue professional and teaching development. Various IU and IU Southeast offices provide training opportunities throughout the year for all IU Southeast employees. From FY10 to FY18, the campus has invested over \$1 million in the professional development of faculty and staff.

University Information and Technology Services (UITS) positions the entire university favorably with respect to emerging technology. The campus benefits tremendously from the technological infrastructure built and maintained by UITS in areas such as campus-level research technologies, IT training and education, student technology centers and consultants, classroom technology services, user support, telephone operations, systems development, data network, and media production and video services.

One of the most significant and far-reaching changes for the campus since the last comprehensive visit in 2010 has been the advancement of online education. From 2010 to 2018, IU Southeast jumped from last to second place among IU regional campuses in online credit hour enrollment and production. Further, IU Southeast has received HLC approval for distance education and has significantly increased the number of available online programs through collaborative agreements with other IU campuses.

Strategic planning is a campus-wide initiative. All faculty, staff, students, and internal stakeholders

have opportunities to provide input. To nurture a culture of continuous improvement across academic and nonacademic units, the campus conducts a wide range of periodic and annual operational assessments. To sharpen both availability and usefulness of assessment, the university launched AM360, a comprehensive data dashboard that presents data on various performance metrics critical to academic operations.

Sources

There are no sources.