

Criterion 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.

The University of Toledo has the resources, structures and processes required to fulfill its mission, support its core values, and continuously focus on its vision of continuous improvement and academic excellence and student learning. The faculty, staff, and administration are committed to daily embrace and enhance the university's learning environment. It purposefully employs effective administrative policies and practices to tailor its resources to respond to meet current and anticipated future challenges.

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.

Financial Resources

The University of Toledo (UT)'s overall fiscal picture is depicted in the Annual Report year ended 2015. UT has worked to maximize [net tuition and fees](#) since 2012, while also working to minimize the net financial burden to students. The fall enrollment in 2014 was 20,626 (17,237 Full-Time Equivalents (FTE)) as compared to fall 2013 at 20,782 (17,571 FTE).

Ohio Senate Bill 6 uses three core ratios to assess a university's overall level of financial health. [Results of the primary reserve, net income, and viability ratios](#) are communicated to the UT Board of Trustees (BOT). Senate Bill 6 converts each of the ratios to individual scores of 0 to 5 and the average of these three weighted scores is the Composite Score, a single measure of the university's financial health. The highest score possible is 5.0, and universities must

maintain a minimum score of 1.75. UT's total composite score in 2014 was 3.8, which is a healthy increase from 2013 (3.5) and 2012 (3.3).

UT's overall fiscal picture is summarized in the [Annual Financial Report](#), which indicates UT has a fundamentally sound financial base. UT relies on three main sources of revenue – state aid, federal grants, and tuition. From FY2012 to FY2015 tuition revenues have remained constant, resulting in students funding a greater percentage of the total operating budget, from 31.5% to 40.5%. Federal grant revenues have risen slightly. State aid, on the other hand, has stagnated and its relative share of revenues to UT has declined. Revenues from state aid accounts for 28.9% of revenues, while revenues from federal sources accounts for 24.8% of revenues. The [University of Toledo Foundation](#) is a legally separate, tax-exempt entity that acts primarily as a fundraising organization to supplement the resources available to the University in support of its programs. The University also was in compliance with federal mandates: The [Federal audit report](#) indicated “In our opinion, the University of Toledo complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2014.”

Human Resources

UT is a leading research institution in Ohio with [1,517 instructional faculty, 4,074 staff members, and 913 research/graduate assistants](#). The institution is well positioned appropriately with overall faculty and staff to carry out its mission and vision (see criterion 3.C.1). A discussion in regards to faculty and staff training and education/professional development is in criterion 5.A.4.

Physical and Technological Resources

UT is aware of the importance of adapting to technological advances and changes in student preferences for how their education is delivered. Technology infrastructure received approximately a \$3 million upgrade in [2015](#) to continue to achieve its mission and vision. It was allocated another \$8.1 million as part of the supplemental capital approved by the BOT in December 2014, most of which was spent in FY2016. UT continually looks for opportunities to expand online education as well as the use of technology to create simulation or emulation. UT

created the [Lloyd Jacobs Interprofessional Immersive Simulation Center](#), a facility to enhance education of healthcare students and professionals, which opened in 2014.

The major capital improvements completed during [2013-2015](#) include:

- Renovation to the Larimer Athletic Complex - \$5 million renovation project from private funding
 - Honors Academic Village - \$37.7 million student housing project financed through a public-private partnership with Collegiate Housing Foundation (CHF).
 - Residence Hall renovations - \$1.6 million renovation for Scott and Tucker Halls to add an additional 47 beds.
 - Campus Energy Reduction - \$2 million campus-wide project to reduce energy consumption, greenhouse gas levels, and energy costs.
 - L. Jacobs Interprofessional Immersive Simulation Center -- \$34.7 million facility developed to positively impact patient safety and improve the quality of care by training health care professionals using simulation models, simulated clinical settings, and three-dimensional Virtual Immersive Environments.
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.

UT's BOT is responsible for oversight of academic programs, budgets, general administration, and employment of faculty and staff. UT's resource allocation begins with BOT approval of current and unrestricted budgets. All expenditures are budgeted each fiscal year prior to being spent. The BOT [Finance and Audit Committee](#) receives budget proposals from administration, recommends actions and provides oversight of all revenue and expenses. By reviewing financial statements, the Finance and Audit Committee monitors revenue and expenses against the annual budget and strives to advance areas of the strategic plan.

Management level and senior leadership within each administrative office or college department is responsible for oversight of their respective budgets. Specific directives of the BOT along

with strict adherence to state and federal statutes, regulations and policies help to ensure that funds are allocated to enhance educational focus. To ensure appropriate departmental funding is available, monthly reconciliation is required by the 15th of each month by business managers and department staff. This information along with frequently asked questions related to [budget controls](#) is found on the Controller's Office website.

UT's [audited financial statements](#) reflect all assets, deferred inflows/outflows, liabilities, and net position of the University and UT Foundation. An internal challenge UT is facing based on a changing environment is depreciation of current structures. Evidence to support the argument that UT is strategically managing this challenge is demonstrated by a review of the resource allocation that appears in UT's quarterly financial statements ([FY2015 approved capital projects and those carried forward projects](#)), presented by source of funds, which includes deferred maintenance for sustainability of educational facilities and technology upgrades.

As concern for aging buildings and depreciation continues to be in the forefront, a [supplemental capital budget request](#) was proposed at the BOT December 15, 2014 meeting by the Finance and Audit Committee to address these needs. Additional recent strategies to achieve sustainability within the organization include an [affiliation agreement with ProMedica Health Systems](#), whereby an investment of \$250 million in capital will go to College of Medicine facilities and \$50M/year for 50 years will support education and clinical training.

The decision process for resource allocation is summarized annually in the [President's Recommended Budget](#). The process used to develop the academic budget is highly participatory over many weeks of budget meetings and campus conversations. These discussions are highly transparent. The process includes active participation by the [President's Advisory Council](#) and their [Finance and Strategy Sub-Committee](#), which includes representation from the Faculty Senate, Student Government, the Deans, Faculty and senior administrators. These discussions continue through June and changes to specific line items might occur, but the net result remains intact.

The resource allocation process has integrity and is not adversely affected by elective resource allocations to other areas or disbursements of revenue to a subordinate entity. The institution's integrated planning and resource allocation process ensures that academics remain its core purpose. Decisions on resource allocations follow three criteria:

- Centrality to mission (the unit's key processes advance the achievement of the University's strategic framework (strategic priorities and goals)).
- Efficiency (the unit carries out its top three to five key processes in a way that makes optimal use of resources allocated to it; the unit demonstrates that it is aware of both the quantity of inputs (number of students, volume of workload, etc.) and the quality of inputs and is able to employ its resources efficiently).
- Effectiveness (the unit achieves the intended results of its top three to five key processes, thereby demonstrating how it contributes to the advancement of UT's strategic framework (strategic priorities and goals)).

In the process to develop the annual operating budget, units develop detailed budget requests. Division leaders (Deans and Chairs, others) review and approve those requests and then prioritize them. These leaders also must identify areas of potential budget disinvestments. Vice presidents follow the same process in reviewing and prioritizing division-level summary budget plans. The same forms are used at the college and vice presidential level.

UT has internal financial controls in place to monitor and review all expenditures through the Accounts Payable office and to monitor overall budget activity through the Budget Office. The Controller also conducts periodic reviews with all budget officers during the year to discuss revenues and expenditures and address questions. Both units are in the Finance Division, and the associate vice president for finance prepares an institutional overview of the annual budget twice a semester and presents it to the BOT and Senior Executive Team. The report monitors overall revenues, with a focus on cash flow and maintenance of cash reserves, measured against projections. UT undergoes an [annual independent audit](#). The auditing firm makes a public report of its findings to the BOT and the report is maintained on the Finance Division website.

3. The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution's organization, resources, and opportunities.

UT's [core values](#) underlie its mission statements and are realistic. To aid in fulfilling the UT mission goals and vision, the BOT established [standing committees](#) and set the [charge of each committee](#). UT established several [key strategic initiatives](#) for academic year 2014-2015 to further fulfill its mission and vision. These initiatives were developed by the Interim President and senior leadership team, and vetted by UT faculty and staff to confirm the goals were realistic, and to adjust where the goals were not realistic.

UT's more strategic approach to resource allocation is expected to promote program restructuring to improve efficiency and create more institutional capacity that can be focused on programs and services that are critical to UT's mission and at which the institution can excel. New business intelligence platforms being developed (such as Argos) provide internal stakeholders access to more than a dozen mission-critical reports in its first iteration. The institution has a four-year computer replacement plan and a three-year server replacement plan for mission-critical hardware.

4. The institution's staff in all areas is appropriately qualified and trained

UT has a well thought-out process that identifies appropriate qualifications and training for all faculty and staff. Embedded in the processes discussed below is an overarching program of diversity education and training for staff, which is leveraged when organizing search committees and other daily/regular University activities.

Below are the structures in place pertaining to qualifications and training across all employee classes. The resulting functions and outcomes are documented in the most recent employee [Climate Survey](#). The climate survey results suggest that employees consider themselves well-trained for their duties, which is typically administered and funded at the department level. However, employees believe an opportunity exists for leadership skills development that can be administered by UT itself.

Faculty Qualifications and Development

A full discussion of faculty qualifications is in criterion 3.C.2. UT faculty possess the credentials required by the “Ohio Board of Regents Guidelines and Procedures” for instructors of higher education (“[Ohio Handbook](#)”). Self-audits of transcripts and CVs are conducted regularly, to ensure faculty qualifications meet internal standards. A full discussion of faculty development is in criterion 3.C.4.

Staff Qualifications and Development

UT’s Human Resources and Talent Development (HRTD) office offers a [manager’s toolkit](#) that provides information on [hiring best practices](#). Resources include a [pre-employment screening tool](#) utilized to recruit qualified candidates and a post-employment screening tool that allows for assessing skill sets and competencies to determine training needs. As indicated in [Licensure Verification Policy 3364-25-09](#), HRTD verifies new employees hold appropriate licensure, certification or registration, and conducts [criminal background checks](#) on all final candidates hired or rehired for a position, as required by policy and law.

HRTD is committed to fostering professional development for staff by offering [manager and supervisor training](#) programs. Sessions include [core and skills basics](#) such as customer service and motivation. Individual programs for development are offered as well. Attention to staff development is considered by individual departments for staff training costs such as seminars and conferences when planning annual budgets.

In addition to continuing professional education, funded and supported by UT operating units, the Office of Quality and Continuous Learning offers professional development courses for employees, many of which qualify for UT college credit. The [Professional Staff Council](#) seeks [professional development](#) by working with HRTD to coordinate [training programs](#). Staff development is also supported by the Testing Services department, which offers career [certifications](#) in areas such as IT and trade certification exams. Staff also receive up to 8 credit hours of free UT tuition and fees per semester.

5. The institution has a well-developed process in place for budgeting and for monitoring expense.

UT's annual budget development process is coordinated by the Office of Budget and Planning (discussed in Criterion 5.C). The budget process begins mid-December and ends in May. Budget development guidelines sent to each Vice President (VP) in January prior to the start of a new fiscal year.

The proposed budget is presented to senior leadership and the [Finance and Strategy Committee](#) for review and is mailed to each Board member for review and considered for approval in June at the BOT meeting. The following constituency groups comprise the Finance and Strategy Committee: Faculty; Faculty Senate; deans; provost and senior VP for academic affairs; senior VP of Finance and Administration; VP of Corporate Relations; and VP of the Graduate Student Association. This process is described in greater detail in Criterion 5.C.1.

UT has a [budget control policy](#), as indicated in Criterion 5.A.2, that addresses management of budget authority for individual departments and indicates all expenditures of funds received by and deposited with the university shall be expended in accordance with applicable State and Federal statutes, regulation, policy and specific directives of the BOT. If budget transfers are necessary, funding can be moved from one index/account code to another by submission of an electronic form by the business/unit administrator. The forms are sent to the [Office of Budget and Planning](#) for review and implementation.

[Amendments to the budget](#) may be necessary due to unforeseen circumstances within the fiscal year. A budget amendment process is used for changes to the budget either changing the total revenue and/or expenditure lines, or when additional expenditure authority is being requested from central contingencies.

A committee that is led by student representatives [allocates general fees](#) annually through a formalized process. The end product of the committee's work is to [recommend distribution to eligible auxiliary departments](#) of student fees, based on forecasted enrollment. Meeting minutes of the General Fee Committee are maintained, illustrating their role in the overall budget process.

Additional information regarding institutional allocation of resources is documented in Criterion 5.C.1.

In summary, The University's resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future. Financial resources are allocated through a highly-participative process that is guided by the University's mission and various realities, including student enrollment and retention and the levels of State and Federal funding. The annual President's Recommended Budget is developed to include the input of academic departments, student constituencies, staff and administrators, and ultimately formal approval by the Board of Trustees. The general fees collected each semester are allocated at the direction of a committee with significant student representation. An extensive list of infrastructure improvements, information system improvements, and collaborations/partnerships have been consummated by the University since 2012; the \$36 million Interprofessional Immersive Simulation Center and the College Of Medicine strategic partnership with ProMedica Corporation are just two recent examples of student-centered investments that improve the human condition. The University is in a solid financial position, due largely to a strong level of reserves and return on investments; however, operating losses in recent years has required the University to reconsider its previous approaches to funding depreciation, managing deferred maintenance, and engaging in an in-depth financial review of its numerous academic programs.

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 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.

UT is part of the University System of Ohio (USO) and is one of 14, four-year, [state-supported public universities in Ohio](#). The [Ohio Department of Higher Education](#) (ODHE) (formerly the Ohio Board of Regents) is the coordinating authority for higher education in Ohio.

UT employs policies and procedures to engage its internal constituencies – including its governing board, administration, faculty, staff and students – in the institution's governance. UT has a [policy development and vetting process](#) that is publicly posted and includes a 30-day solicitation of feedback from all stakeholders, including senior leadership, deans, staff. The policies are then posted as final once they have been approved and signed.

In the interest of transparency, UT also accepts requests from the general public regarding its internal operations. The process for handling public records requests is documented in UT [Public Records policy 3364-10-02](#).

The policy vetting process referred to above includes its governing board, administration, faculty, staff, and students. As evidence that the structure is working, since FY2012, UT has not been cited for any significant regulatory or policy violations by Federal or State authorities, or by its [independent auditors](#) or internal auditors. The only exception is the University's need to reassess its [Title IX](#)/campus safety practices. To that end, UT engaged a third-party consultant to perform an independent and objective evaluation and make recommendations, which are in the process of implementation.

Shared Governance: Opportunities exist for faculty, staff, and students to participate in governance through membership on the BOT and/or UT committees. The governor appoints [non-voting student members to the Board](#) using a procedure specific to student members. [Faculty members serve as members of Board committees](#), but do not serve on the full Board. Faculty and administrators share leadership on university-wide governance bodies such as

the [Research Council](#) and [Graduate Council](#) as well as regulatory committees such as the [Institutional Review Board](#) and the [Institutional Animal Care and Use Committee](#).

In addition to these processes and activities, the following are also vital to UT's successes in shared governance:

- An engaged and committed Faculty Senate and President's Advisory Council
 - UT Finance department involvement in key resource planning and allocation decisions
 - A strong infrastructure of institution-wide policies and procedures that are acted on and audited,
 - Input from all campuses on changes in policy and strategic direction
 - Partnerships and collaborations with the various faculty and staff labor unions on campus
2. The governing board is knowledgeable about the institution; it provides oversight for the institution's financial and academic policies and practices and meets its legal and fiduciary responsibilities.

[Chapter 3364 of the Ohio Revised Code](#) is the enabling statute of UT and establishes the UT BOT as governing authority of the University. Trustees are appointed by the governor and serve nine-year terms and serve without compensation. The [UT BOT Bylaws](#) describe in greater detail how the Board is chosen and roles of Board members not appointed by the Ohio governor, such as community members. All Board meetings are public, and it is the intention of the Board to be transparent in all governance matters. The President is required at the beginning of each academic year to make [a report to the BOT](#) and review the administration's goals and objectives of the prior year, propose goals and objectives for the upcoming year, and "discuss the University's well being and challenges".

As UT's governing body, the BOT, among other things approves tuition and fees; ratifies strategic plans and substantive curricular matters; approves the final budget and audited financial statements; confers undergraduate, graduate, and professional degrees; confers promotion and tenure on faculty members; approves appointments to the medical staff of the UT Medical Center; and authorizes the appointments of new faculty members, administrators, and other

employees. The [minutes of Board meetings](#) are posted publicly on the University's website. The Board's awareness of its responsibilities is formalized via a published [code of ethics](#) and a [statement of comportment and bylaws](#). The [BOT has the authority to hire the President](#), as they did with President Gaber in 2015.

UT's body of policies and procedures provide guidance to, and engage, all constituents in the governance structure. All [University policies](#) are stored on a central website.

In summary, the University's budgeting and resource allocation processes are inclusive, adaptable, and flexible. Despite flat tuition revenues, and declining State and Federal aid, UT remains fiscally stable and able to invest in strategically important areas. For example, investments in distance learning have increased 8% since FY2012, which has enabled UT Online/Learning Ventures to offer 41 online programs, and more than 500 online courses each semester, with approximately 12,000 students taking online courses per semester.

3. The institution enables the involvement of its administration, faculty, staff and students in setting academic requirements, policy and processes through effective structures for contribution and collaborative effort.

Below are UT's structures for contribution and collaborative effort. Faculty, staff, administrators, and students are involved and engaged in setting academic requirements, policy, and processes. Evidence that the structures are working can be found in results of the most recent employee [Climate Survey](#) that suggests employees are engaged at the highest levels since this survey was first conducted. The Climate Survey utilizes Likert scales, multiple choice, and fill-in selections covering areas such as perception of overall climate, acceptance, diversity-related services, courses, programs and/or organizations, attitudes and feelings toward others, discrimination and harassment, and awareness.

Another source of evidence is the [Faculty Senate](#) reports delivered at each Academic and Student Affairs Board Committee meeting. [Examples](#) of recent Faculty Senate/Academic and Student Affairs Committee reports are posted publicly on the BOT website – they are summations of the

more [detailed Faculty Senate meeting minutes](#) published on its website. It is evident from these reports that Faculty Senate feels more engaged in these structures in recent years, especially beginning in FY2015.

Academic Governance, Faculty-Administrative Relationship

The 64-member [Faculty Senate](#) is responsible for oversight of undergraduate academic programs and policies, and the 50-member [Graduate Council](#) for oversight of graduate programs. The delegated responsibility of the Faculty Senate for undergraduate academic affairs is published in the [Faculty Senate Constitution](#). Both the Faculty Senate and the Graduate Council are elected bodies with membership proportionate to the size of the colleges represented. The provost is an ex-officio member of Faculty Senate and the vice provost for graduate affairs/dean of the College of Graduate Studies is a member of Graduate Council.

Most full-time tenured and tenure-track UT faculty on the Main Campus are subject to a collective bargaining agreement between UT and UT's chapter of the [American Association of University Professors \(UT-AAUP\)](#). A separate AAUP collective bargaining agreement exists for lecturers. While most UT faculty are governed by the AAUP agreement, all administrators, College of Law, College Of Medicine, part-time faculty, visiting faculty, and portions of the College of Health Science faculty are "nonunion". While nonunion faculty is not covered by a collective bargaining agreement, the college of law faculty adhere to the CBA and college of law faculty are represented by the [Rules and Regulations](#) bylaws and participate in UT's governance process to the same degree as their union counterparts, receiving the same general employee benefits and other consideration.

As required by the Faculty Senate Constitution, colleges have governing councils, either of the whole or elected, constitutions, and bylaws, that serve as a voice of the faculty and provide oversight of programs, curricula, and other college-specific issues. [Article 13 of the Faculty Senate Constitution](#) describes this process.

Classified employees on both the [main campus](#) and the [health science campus](#) also play an important role in University governance through negotiated collective bargaining agreements

that outline issues such as working conditions, salaries and benefits, management rights, non-discrimination, leaves, grievance procedures, and employee conduct.

Non-faculty administrative personnel and professional staff (PSA) are employed on annual at-will contracts. The [PSA](#), formed in 1992 as a vehicle for communication between staff members and senior administrators, provides feedback about issues affecting UT, particularly those impacting its non-unionized, non-academic, salaried management employees.

Student Government

Undergraduate and graduate students serve both as representatives on decision-making bodies and through their leadership and responsibilities in areas of college life such as student organizations and activities.

[Student Government](#) and the [Graduate Student Association](#) represent the needs and concerns of undergraduate and graduate students, respectively, working with administrators to address issues that involve education and student welfare. Each organization has elected officers who represent and provide input and feedback on student issues and concerns on various university committees. The undergraduate elected student government consists of a president, vice president, a student senate, and a student judiciary. In addition to the elected student leaders, two non-voting students serve on the BOT for two-year terms. The student members are appointed by the governor, with the advice and consent of the Ohio Senate, from a group of six candidates selected pursuant to a procedure adopted by UT's student government and approved by the BOT. Student Government works closely with the faculty and administrators on issues raised by students. Examples of [recent legislation](#) championed by Student Government are posted publicly.

Students often participate on standing college committees and on search committees, reviewing applications, interviewing applicants, and making recommendations. For example, students served on [search committees](#) for the Dean of the College of Law and the Provost and Executive Vice President for Academic Affairs. Student Government is also included in the budget process and in the recent Presidential search. A number of the colleges and departments have student

councils that address student concerns and are linked to national and international organizations that provide additional opportunities for student leadership and recognition.

In summary, The University's administrative and governance structures promote effective leadership and support collaborative processes that enable the University to fulfill its mission. The University is governed by a Board of Trustees that is appointed by the Governor of Ohio, and who serve ten-year terms. A committee structure underlies the Board's operations, and the chairs of each committee change each year. The University is also governed by a strong set of policies and procedures that are reviewed, updated, and audited regularly, with oversight from the Board, the University's independent accountants, and various Federal and State regulating bodies. The President's Advisory Council, Faculty Senate, Student Government, and Graduate Student Council are among several other organizational bodies that provide the ability for administration, faculty, staff, and students to set academic requirements, policy, and processes through effective structures for collaborative effort and contribution; these bodies have reported a stronger level of collaboration with University administration over time.

5.C – The institution engages in systematic and integrated planning.

1. The institution allocates its resources in alignment with its mission and priorities

UT employs an integrated planning and resource allocation model as the basis for long-range strategic planning, division and unit planning, and continuous improvement. This model is UT's means of enacting its mission, vision and core values and achieving the intended outcomes of its systems, processes and improvement goals in an intentional, sustained way.

Key points of the resource allocation model are:

- UT's vision and mission drive all resource allocations, which will be decided through a planning process that focuses on creating intentional, practical improvements in instructional programs/departments, services and student activities and the infrastructure needed to support them in order to meet more effectively identified stakeholder needs and demands.

- The three integrated components of model are evaluation/measurement/analysis, planning for improvement, and resource allocation.
- It enables the University to take a systematic, holistic approach to the continuous improvement of the institution – at the strategic, division and unit levels and in both short-term and long-range planning cycles.
- UT continuously improves its performance relative to defined intended outcomes related to its four enduring strategic priorities.
- Everything UT does advance its strategic priorities – or the University doesn't do it.
- Improvements could be achieved through the introduction of new programs and services or new ways of doing things.
- Resources could be allocated to improvement goals and to mission-critical operations through disinvestments or restructuring.

UT is preparing to successfully conclude the Directions 2011 strategic plan, the first plan developed through the resource allocation process. As reported in [various presentations to the UT BOT](#), all projects in that plan are proceeding as outlined. In fiscal year 2016-2017 UT will launch the next strategic plan. In the work leading up to the strategic planning forums, senior administration in collaboration with deans and faculty representatives, will take steps to streamline the resource allocation model, more clearly define the structure of integrated planning and tie planning and resource allocation more firmly to analysis and evaluation.

2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting

As described in Criterion 4.B.1, the [University Assessment Committee](#) (UAC) collaborates with appropriate internal (e.g. Institutional Research, Provost, staff) and external resources (e.g. nationally-known assessment experts-Dr. Barbara Walvoord, Dr. Marcia Ditmyer, Linda Suskie), to provide leadership on assessment processes and resources. In addition, the UAC also reviews assessment data at a macro-level in order to highlight identified themes throughout the various data points from across campus. The committee summarizes the data and brings forward [recommendations to the Provost's](#) attention for consideration in planning and budgeting.

Starting in fall 2015, the [UAC undertook a new charge](#) to assess and analyze data from students, faculty, staff, administrators, the BOT, and the local community as part of its macro-level process.

To improve the effectiveness and efficiency of UT's employee base, changes have been made, and greater attention has been given, to promote development and management of talent at professional and non-faculty staff levels. Changes since the last HLC visit include:

- Additional investments in Human Resources and Talent Development have enabled improvements to managing employee benefits, greater operational efficiency, and a more robust training and development program.
- Additional funding for compliance resources across the University has been approved and is aiding in monitoring compliance with the many regulations the university is subject to.
- Finally, the institution is focusing on decreasing the disparity between capital budgeting and depreciation, allowing funding for projects to maintain infrastructure.

In addition, evidence of other major initiatives for the 2014-2015 academic years can be found in the [Enrollment Update](#) dated Friday, September 25, 2014. The college engagement plan highlights the following:

- Recruitment and Retention Coordination Council (RRCC)
- Integrated Admission Communication Plan
- Integrated Retention Communication Plan
- Academic College Recruitment and Retention Reports
- Goal Setting
- Constituent Relationship Management (CRM) Access
- Yield Activity
- Recruitment and Retention Assistance

The outcomes as documented in the Enrollment Update indicates that the above activities are successful, but there is still more work to be done before UT is satisfied complete progress has been made in this area.

The University of Toledo utilizes planning as an effective instrument to ensure that campus constituencies are included in the development of policy, resource allocation, establishing priorities, program design and development, curriculum review and continuous improvement that enhances high quality offerings to its students. The University is committed to quality. It understands that the very nature of planning provides many lessons to improve operational effectiveness. In effect, the development of a set strategic plan, a long-time past practice at UT, has evolved into an ongoing process of evaluation, planning, and action. It deliberately pursues opportunities to use lessons learned from effective planning to improve.

3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

The annual budget planning process is a broad based exercise, taking place over a large period of time through open meetings and discussions among numerous internal campus constituencies.

The Finance and Strategy Committee plays a key role in budget development, incorporating the input from representative [student](#), [faculty](#), Deans, and senior administration members. Likewise, the budget for the clinical enterprise is also broad based through open meetings and discussions, including the perspectives of senior leadership and physicians. The annual [budget development process](#) includes the full engagement of the UT BOT as well as its Finance and Audit Committee, both composed of external constituencies.

The UT planning process includes both financial and strategic planning as well as employee development, and addresses effectiveness and efficiency of operations, reliability of financial reporting, and compliance with applicable laws and regulations. It is emblematic of the UT governance process, both the academic and clinical enterprises, and all campuses. These processes consider the perspectives of numerous internal (faculty, staff, leadership) and external (Board, State, Federal, community, and alumni) constituent groups. Invitations for public comment on the most significant deliverables of the planning process (the strategic plan and the President's Recommended Budget) are solicited via Board meetings, electronic mail solicitations, the alumni magazine, "town hall" meetings, and the University website. The

University logs all formal feedback from external stakeholders, and records how the feedback has been addressed in the planning process.

4. The institution plans on the basis of a sound understanding of its institutional capacity.

Institutional plans anticipate the possible impact of fluctuations in the institution's sources of revenue, such as enrollment, the economy, and state support.

A [five-year plan](#) has been developed, using conservative assumptions while conceding challenges facing the institution. Key to the challenges facing UT are means to increase enrollment, retention, and graduation rates; attracting and retaining talented faculty and staff through recognition and rewards; becoming more efficient in operations by changing procedures, increasing technological support, allocating resources more strategically; and bolstering the University's overall financial profile to improve bond ratings. Various studies undertaken by the UT Facilities and Construction department suggest that the current infrastructure is able to accommodate increases in [undergraduate students, graduate students, and employees](#) of up to 20%. This information is supported by initial data gathered in support of the multi-campus facilities [master plan](#) that is currently underway, and by the results of the most recent [Sightlines](#) review of campus facilities in 2010. A follow-up Sightlines review is in progress as of late 2015.

The five-year plan and the University's strategic plan is intended to be adaptable, flexible, and responsive to current business and environmental conditions, and is realistic in light of financial, infrastructure, and human capital limitations. As is evidenced in the five-year plan, it anticipates the impact of fluctuations in the institution's sources of revenue, such as enrollment, state share of instruction, and the economy.

5. Institutional planning anticipates emerging factors, such as technology, demographic shifts and globalization.

The strategic plan, as initially crafted to address significant local, national, and global economic factors in 2008, was improved/reorganized/restructured in 2010 under [Directions 2011](#) in consideration of continued economic lethargy and the state strategic plan for higher education.

Enhancements in the 2011 strategic plan involved implementation strategies and measurable data in tracking the plan's progress. In 2015, The Interim President developed a list of [30 initiatives](#) during a summer retreat with vice presidents and other senior staff. These initiatives, addressing University wide concerns, core values, and designated activities, served as a strategic bridge during the 2014-15 academic year in anticipation of a new presidential appointment in 2015. Updates were provided by designated senior staff on each initiative periodically over the course of the academic year. President Gaber has expressed her intent to review UT's mission/strategic plan in 2016.

To ensure that UT has a technological infrastructure that is up to date and meets the University's educational, research and service missions, visions, and goals, the [Information Technology Department](#) strategically plans for all aspects of instructional, research, and administrative computing. The University's technology enhancement efforts are supported by a strategic plan that lists five overarching [goals](#).

- Enhance the IT network infrastructure to promote improved reliability, availability, cost-effectiveness, and security while improving the collaboration and communications service offerings.
- Continue to develop Banner Enterprise System to enhance productivity.
- Continue the implementation of Digital Campus, the initiative at the University of Toledo Medical Center to develop an electronic medical record.
- Continue to develop Academic Computing.
- Develop outstanding IT client services for academic and hospital areas.

The University is preparing for major, long-range demographic shifts that will impact its operations. The traditional pool of direct-from-high-school students is declining, while the number of immigrants, military veterans, and minority students going to universities and colleges grows. Workers are returning to the classroom to gain new skills for new jobs. The University's second set of values, "Discovery, Learning and Communication," recognizes this trend and emphasizes that the institution will promote a culture of lifelong learning. Goal IV of the *Directions* [strategic plan](#) states: "We will be distinguished for our learner-centered environment and for our relevant programs in a vibrant, safe and healthy environment that enhance the

engagement of our UT community with our stakeholders.” [The strategic plan](#) emphasizes a focus on non-traditional student populations and endorses “high quality programs and multidimensional experiences.” The University, according to the plan, will “experience a 15 percent annual increase in the number of online degrees awarded, a 10 percent annual increase in the number of courses offering online tutoring, and a five percent annual increase in the number of adults taking blended or hybrid courses.” Implementation strategies call for the University to increase the number of online degrees and “increase online opportunities for strengthening and remediating academic skills.”

The trend of [globalization](#) permeates the University’s values and strategic directions and has taken on increased importance in the last five years. Students today live and work in an increasingly global environment, a trend clearly recognized in the University’s planning. For instance, the core values include phrases such as “global resource” and “around the world,” while the vision statement pictures the University as a “transformative force for the world.” These concepts are translated in the strategic plan, where initiatives focus on providing a “relevant education,” “strengthening relationships with global institutions,” “real world experiences,” and “global engagement.”

Moreover, The University’s administrative and governance structures promote effective leadership and support collaborative processes that enable the University to fulfill its mission. The University is governed by a Board of Trustees that is appointed by the Governor of Ohio, and who serve ten-year terms. A committee structure underlies the Board’s operations, and the chairs of each committee change each year. The University is also governed by a strong set of policies and procedures that are reviewed, updated, and audited regularly, with oversight from the Board, the University’s independent accountants, and various Federal and State regulating bodies. The President’s Advisory Council, Faculty Senate, Student Government, and Graduate Student Council are among several other organizational bodies that provide the ability for administration, faculty, staff, and students to set academic requirements, policy, and processes through effective structures for collaborative effort and contribution; these bodies have reported a stronger level of collaboration with University administration over time.

In summary, The University engages in integrated and systematic planning. Each year, the University regularly evaluates its operation relative to the Directions 2011 strategic plan. In light of the various leadership changes currently in progress, the decision was made to suspend recalibration of the strategic plan until a new University President is installed. In the meantime, the areas of focus stated in Directions 2011 were progressed via numerous aggressive tactical plans that were responsive to emerging factors such as demographic shifts, globalization, and technology. These tactical plans allowed the ideals of Directions 2011 to be customized to the present day. The University's institutional planning processes is highly participative, and leverages both "top-down" and "bottom-up" participation from the broad University community, including faculty, staff, administrators, students, trustees, and members of the Toledo community.

5.D – The institution works systematically to improve its performance.

1. The institution develops and documents evidence of performance in its operations.

UT also measures its performance through feedback from various surveys. UT has a [survey committee](#) with a defined survey plan that coordinates institutional surveys to minimize duplication of effort and expense while providing review and dissemination of results and findings to survey owners. Surveys throughout the organization are comprehensive in that they reach students, faculty, staff and the community.

The [Student-Centeredness Survey](#), designed by the Division of Student Affairs and the Office of Institutional Research in 2007, collects college students' feedback regarding services provided by UT. Survey results are used to make improvements within UT in three main areas: academics, support services and the learning environment/facilities. Although a formal action plan does not exist that addresses areas for improvement, the [Advising Coaches Retention project](#) as listed on the [Senior Leadership Project List](#) Academic Year 2015 illustrates how the results of the survey will be used to identify strengths and opportunities to increase enrollment.

Sent to first-year and senior students (most recently in 2013), the National Survey of Student Engagement (NSSE) assesses the extent to which [students engage](#) in a variety of academic activities and campus life. The NSSE survey is administered to a random sample of 5,000 freshman and senior students during the spring of all odd-numbered calendar years (most recently, spring 2015). Evaluating how students spend their time in and out of the classroom assists in decision making for UT. Information regarding the most recent survey has been included as a source of data in the Institutional Assessment Plan.

It should be noted that the “[You spoke, we listened](#)” initiative, and other similar initiatives, resulted in numerous improvements as a response to input from the Student-Centeredness and NSSE surveys. These improvement initiatives are described in detail in Criterion 5.D.2.

[The Office of Assessment, Accreditation, and Program Review](#) supports and advances UT’s mission by providing leadership and resources for accreditation, periodic academic program review, and student learning outcomes assessment across the university. The [University Assessment Committee](#) (UAC) leads the continued development of learning assessment policies. Through college, academic support units, student affairs, and core curriculum liaisons, the UAC monitors assessment of student learning at the program level, and reviews and provides feedback on the annual reports. The UAC collaborates with the appropriate internal and external resources to provide leadership for the professional development of faculty, administration and staff on assessment processes and resources. The [College Learning Assessment](#) underlies the operation of the UAC.

The [Campus Climate Survey](#), developed by the Office of Institutional Research and led by the Office of Equity, Diversity, and Community Engagement, encompasses students, faculty, and staff to get an overall sense of the UT climate with the goal of improving the culture of the UT community. The survey covers areas such as perception of acceptance, diversity-related services, courses, programs and/or organizations, attitudes and feelings toward others, discrimination and harassment, and awareness.

Employee satisfaction is measured through the Professional Staff Association (PSA) [Satisfaction Survey](#). Responses from the survey offer valuable information that impact decisions on improvement efforts. Based on the last PSA survey, the area with the highest degree of dissatisfaction was related to total compensation (base pay plus benefits). There have been numerous actions taken since the PSA report was issued to address employee satisfaction issues across the University. Following are recent actions implemented with positive results:

- As part of the [budget](#) for fiscal year 2015, all eligible employees received a 2% increase in salaries and wages.
- All employees are now afforded access to recreation centers on both the Main Campus and Health Science Campus, free of charge.
- Revised [performance evaluation processes](#) were implemented.
- [Employee service recognition](#) ceremonies were reintroduced.

Another measure to determine performance is through various [evaluation processes](#) in place throughout the University, with plans to standardize these evaluation processes across all colleges and all campuses. Evaluation of departmental performance is conducted by department chairs, who issue an annual report of the performance of the department as well as conduct a performance review and evaluation of departmental faculty. UT is working with the Provost to implement a rubric in 2016 to guide academic administrators during the faculty performance evaluation process. Examples are:

- The [Judith Herb College of Education](#) measures outcomes for students. The work of its On-Site Feedback team has resulted in continuous improvement plans, including separate collection and tracking of defined performance measures, revision to the district licensure program, and increasing research requirements.
- The [College of Nursing has developed a master plan](#) for evaluation of 2014-2019 Bachelor of Science in Nursing, Master of Science in Nursing and Doctor of Nursing Practice programs to align with UT'S mission and assess/evaluate progress towards its goals and objectives. Staff and faculty are involved in the governance of the program with the overall goal of improving the quality of the programs.

Surveys and evaluations, when used effectively, provide feedback necessary to guide the framework to improve performance continually and to support the University's goals and mission. Additional improvement efforts are carried out by UT's UAC, which provides leadership in the review, evaluation and continuous improvement of UT's assessment plan. The majority of the "externally-facing" [surveys are administered by the University's Office of Institutional Research](#). Following are among the surveys they support regularly:

- UT Climate Survey
- Cooperative Institutional Research Program Freshmen Survey
- Your First College Year Survey
- Student Centeredness Survey
- Organization and Leadership Development Needs Analysis Survey
- Professional Staff Association Survey

The [General Education Assessment Planning Committee Report](#) for fall 2014 responds to the general assessment needs addressed in the 2012-2013 [University of Toledo Academic Program and Service Unit Assessment Institution-wide Summary](#) prepared by the Office of Assessment Accreditation and Program Review. The report addresses the structure on the general education assessment reporting process.

Additional measures to improve performance are detailed in the [University Completion Plan](#) adopted on June 16, 2014. The [University of Toledo Completion Plan working group](#) is committed to UT and success of its students and has established four completion goals for 2014-2016. These are:

- Strengthen relationships with feeder high schools (actual improvement: 5% increase in number of feeder high schools with whom UT has a relationship).
- Increase course success rate of students in introductory writing by five percent and success in introductory mathematics courses by three percent the next two years over fall 2013/spring 2014 completion rates (actual improvement: six percent increase in success in introductory writing, four percent increase in introductory mathematics).

- Increase the number of associate/baccalaureate degrees awarded by 1% annually for the next two years (actual improvement: 2% increase in associate/baccalaureate degrees).
- Strengthen relationships with employers in the northwestern Ohio region (actual improvement: 5% increase in number of employers with whom UT has an active relationship)

As indicated in these measurements, UT is making strong progress toward the above goals.

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

In 2015, UT embarked on an organized effort to develop a system of [key performance indicators](#) (metrics) for the academic and clinical enterprises. These metrics are refreshed monthly, distributed to the senior executive team and President's Advisory Council and primarily intended for internal management/planning purposes only. A summarized view of these performance indicators ("[University of Toledo Dashboard](#)") has also been developed and shared with the BOT for the first time at its September 2015 meeting, and was well received

Over time, the issues that have required the most attention revolved around enrollment, retention, the student experience, campus safety, employee development, and online learning. The action plans discussed below illustrate how UT learns and how it applies the knowledge it gains.

Among the University's progress in this area since the 2012 HLC visit are:

- Continued enrollment efforts are demonstrated in the attached [President's Advisory Council enrollment update](#) of 9-26-14 and the 2014-2015 [Enrollment Management Initiative](#).
- [Living-Learning Communities](#) offer opportunities for educational and personal growth to improve effectiveness and sustainability by providing housing for students of like interests.

The 2012 HLC evaluation recommended, in the Advancement section, a formal outside program review of UT administrative structure and function. In light of several recent leadership changes, a conscious decision was made not to conduct a formal outside program review of administrative structure and function at this time. Instead, the new senior leaders were empowered to make leadership and administrative structural changes in the spirit of the above HLC recommendation. These are reflected in the various academic and staff organization charts across the University. In addition, following are among the numerous other action items that have been taken in the spirit of this recommendation:

- External consultants were hired to address specific topics (e.g., [Title IX consultant](#); [Barbara Walvoord](#)) engaged to provide support for assessment processes
- UT promotes training for new leaders and professional development of existing leaders (e.g., President Gaber attending training at Harvard University specifically for university presidents; department chair training being re-implemented).

Several efforts during the past four years have addressed challenges identified in student surveys and feedback from the 2012 HLC visit that recommended UT leadership provide attention to Rocket Solution Central, especially customer service, so students know UT is working to address the challenges identified in student surveys. These efforts include the [Staff Ambassador program](#) and an improved [orientation program](#).

Departments within the organization such as [Institutional Research](#) that provides objective and insightful analysis and [Department of Internal Audit and Compliance](#), which evaluates effectiveness of operations and financial reporting to keep the campus safe, help to contribute to the performance of the organization.

UT works systematically to improve its performance. The University has a full complement of enterprise-wide and local key performance indicators that are continuously reviewed and acted on. In addition, the University has a highly engaged Board of Trustees and senior leadership team that is adaptable and flexible in its operation, and does not hesitate to challenge the status quo in light of the various realities impacting higher education currently.

While the University's budgeting, long-range financial plan and strategic plans are developed separately, each process ultimately informs the other, due to the level of collaboration and attention to the vision of the stakeholders involved. For example, the five-year financial plan relates the strategy/strategic plan to dollars and cents with relation to state funding and partnerships.

The University has a long and full institutional memory. It learns from its past experiences, always with an eye toward a sense of *tomorrow*. Its track record of fully engaging all internal and external constituents of the community help ensure its success.

Finally, the University of Toledo effectively plans for the future, and is a *learning* university that is planning for tomorrow. Its processes, resources, and structures are sufficient to fulfill its mission to improve the human condition, improve the quality of its educational offerings, and respond to future challenges and opportunities.

Criterion Five Summary

The University of Toledo is a mission driven research university that strategically utilizes its resources to maximize its ability to continually enhance its ability to improve its academic environment for student learning. As demonstrated by the decisions by the faculty, the leadership of the University, and the Board of Trustees, a culture of continuous improvement has been evolving. Evidence has been provided that demonstrates that the University is intentional in its planning to meet current fiscal challenges while at the same time positioning itself to respond to anticipated future requirements of technology and campus physical requirements. The merger of the Medical University of Ohio with The University of Toledo was a calculated decision to create a stronger postsecondary institution of higher education committed to excellence. The University of Toledo emerged from this merger as a strong institution with the resources, structures and processes that enables it "... to improve the human condition; to advance knowledge through excellence in learning, discovery and engagement; and to serve as a diverse, student-centered public metropolitan research university."