

July 12, 2018

Dear Chair Coleman and Members of the Northern Illinois University (NIU) Board of Trustees:

I appreciate the opportunity to submit this executive summary as part of my first evaluation as acting president of NIU. It complements the detailed information provided in the *FY18 Presidential Goals, Summary, Results and Supporting Materials*, to provide additional context and an overview of the past year. I am pleased to share with you our significant progress toward achieving FY18 goals, addressing long-term opportunities for improvement, and strengthening our learning and working environment. Moving forward, and out from the myriad challenges of FY16 and FY17, has been possible because of the remarkable dedication of our NIU community.

The FY18 Board of Trustees Priorities and the cascading Presidential Goals acknowledge our continuing need to support the aspirations of students from all backgrounds, engage in knowledge creation and invest in our faculty and staff. They also speak to the importance of achieving operational and ethical excellence, and long-term fiscal sustainability through transparency of process, insights and results. Importantly, these annual goals were developed with the larger intention of positioning NIU for the future by creating momentum over more than one year. Thus, some of the FY18 goals focus on setting a baseline for to inform strategies for FY19 and beyond, and others are aspirational in nature.

This past year, I devoted substantial time and energy to stabilizing the university. Steps taken to this end include increasing the transparency of the President's Office, improving relationships with shared governance groups, highlighting the excellence of NIU's programs and people to key stakeholders, and working to strengthen areas that were impacted negatively by the 700+ days without any state appropriation. With respect to the last, I am particularly pleased that we were able to provide a long-awaited and much-deserved pay increase to our devoted faculty and staff. At the same time, I recognize that it will take time to recover from the budget impasse, refocus attention on our most ambitious goals, and develop the resources needed to invest in NIU's future.

We have been working together to implement a business model that sustains our financial health, funds appropriate levels of institutional financial aid, enables investment in our dedicated employees, and provides sufficient flexibility to respond to the rapidly changing higher education landscape. One strategy I have emphasized throughout my first year as acting president is cultivating relationships into resources. NIU formed several new partnerships in FY18 that will allow for greater efficiency, effectiveness and expertise, as well as enhanced student experiences. These include agreements with the City of DeKalb to oversee consolidated mass transit operations, with Follett to oversee our retail bookstore operations, with Northwestern Medicine to provide comprehensive student health care and with Discover Financial Services to offer an intensive on-campus internship program for students. In addition to their financial and resource benefits, relationships such as these continue to differentiate NIU in a competitive marketplace.

NIU also values collaboration as a strategy for advancing research and innovative practice. For example, the Morgridge Endowed Chair in the College of Education emphasizes innovation related to the integration of technology into classroom practice and specifically seeks to inspire a collaborative community of researchers and practitioners from diverse disciplines. This vision will be realized in FY19 as the tentatively titled Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE). At CREATE, a multidisciplinary team of researchers will explore effective ways to design state-of-the-art embodied technologies for enhanced learning and development. The launch of this Center addresses the fifth Presidential Goal and models the power of philanthropy as a catalyst for innovation.

NIU also continues to see positive financial, structural, curricular and cultural outcomes from Program Prioritization. The response to this comprehensive process has proven our willingness and ability to take on significant challenges in a thoughtful, collaborative manner. Accordingly, our faculty, students and staff continue to assume important leadership roles. This past year, we received an excellent report from a task force charged with conducting a comprehensive, transparent and replicable study of NIU faculty salaries to consider issues of systematic bias, salary compression and inversion. In the coming year, in collaboration with the groups that represent our faculty, the university leadership will begin to address the identified concerns and to enact the task force recommendations.

We've also heard directly from our students about various issues that impact their success. We continue to work with them to improve their NIU experience and to advocate for their concerns in Springfield and Washington. The evaluation and assessment plan created in response to the sixth Presidential Goal will enhance our ability support and engage our students going forward.

Program Prioritization has also increased our comfort with data-informed decision-making, assessment and planning for continuous improvement. The continued commitment to these processes is evident from the results presented in association with the third Presidential Goal. NIU has successfully incorporated the Program Prioritization framework

into a number of tools used to guide internal recommendations for continuous improvement.

The second Presidential Goal highlights both the opportunities and challenges associated with using nationally available finance data and metrics to answer high-level questions about institutional spending, revenues and resource allocation. Specifically, this goal sought to use data reported to the Integrated Postsecondary Education Data System (IPEDS) to describe these aspects of NIU finances over time and to make meaningful comparisons between NIU and peer-institutions. Our efforts to achieve these outcomes were hindered by a number of factors including periodic changes in IPEDS data collection and reporting, differences in institutional accounting practices across our peer group, and incomplete understanding of how our institutional objectives are embedded in reported data and calculated cost ratios. An October 2017 report by the National Postsecondary Educational Cooperative indicates that these challenges are ubiquitous across IPEDS stakeholders rather than unique to NIU.

In the coming year, the university will work to understand how to use institutional and IPEDS data most effectively to support strategic decision-making and resource allocation. Importantly, we remain committed to tracking administrative spending to encourage increased financial transparency and appropriate reductions in administrative costs. Retirements in FY18 allowed the university to reduce the number of senior administrators by eliminating positions at the level of vice president and associate vice president in Information Technology and Human Resource Services, respectively. There were also FY18 administrative investments aligned with the Presidential Goals in functions related to ethics, compliance and fundraising.

Given the accelerating demographic, economic, technological and political changes to our operating environment, it is not surprising that growing student enrollment and success remains a significant challenge for NIU. A sense of urgency exists across the senior leadership and the university community. We have responded to downward trends by enacting strategies to promote immediate stability and sustainable growth. We will expand the pools of eligible applicants and yield enrolled students using approaches that are responsive to changing demographics, evolving student expectations and the prevalence of technology in our world. Enrollment Management Marketing and Communications is leading development of a multi-year, multi-pronged recruitment plan that reaches different populations of prospective students and targets those most likely to enroll. We will employ reliable data analytics and metrics to determine what works well, and what is less effective.

The FY18 Presidential Goals acknowledge that a multi-faceted plan and long-range commitment will be required for NIU to increase year-to-year persistence and graduation rates for current students, and to increase recruitment of undergraduate and graduate students to on-campus, on-line and off-campus programs. To this end, we established data-informed goals, strategies, objectives and tactics for addressing achievement gaps and increasing retention and graduation rates; increased funds raised and expended by the NIU Foundation for scholarships; introduced new and updated on-line/off-campus programs; expanded our strategies for marketing NIU to target audiences; and instituted new practices designed to increase yield -- such as phone casts for admitted students and their parents. We are more proficient at articulating NIU's value proposition, and we are implementing new recruitment strategies aimed at connecting with potential students and establishing relationships earlier.

Our FY19 priorities and goals will build on the successes, shortcomings and lessons learned over the course of the past year. We will be unwavering in our commitments to our mission and core values, to an organizational culture that is ethical and accountable, and to a university community that is diverse, inclusive and welcoming. We will continue to strengthen our financial position and future sustainability by focusing enrollment management strategies on targeted growth, by improving operational efficiency and effectiveness and by enhancing philanthropic support.

In closing, I want to express my sincere appreciation for all of those who contributed to NIU's successes over the course of the past year – the board of trustees, senior roundtable and academic leadership team, as well as our dedicated faculty, staff, students, alumni, donors and partners. I could not be more proud of the NIU community. These Huskies are smart, tough and relentless in their pursuit of excellence and engagement, and in their support of our talented students. Together, we will continue to move our beloved NIU forward.

Sincerely,



Lisa C. Freeman, D.V.M., Ph.D.
Acting President



Northern Illinois
University

Board of Trustees

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August 22, 2018

Members of the Board of Trustees, and
Lisa Freeman, Acting President
Northern Illinois University

Subject: 2018 Presidential Evaluation

For your review and consideration, this letter and the accompanying materials are intended to document the 2018 evaluation of Acting President Lisa Freeman at the close of the 2017-2018 academic year.

The Northern Illinois University Board of Trustees affirms and supports the executive summary and self-evaluation of Acting President Lisa Freeman. Dr. Freeman graciously accepted the leadership role of the acting presidency during a time of crisis and uncertainty; and with her poised, yet strong, leadership, she stabilized the university and made substantial progress in repairing relationships within and throughout the broader NIU community.

The Board assessed, in closed session, the FY 18 Executive Summary and Self-Evaluation of Dr. Freeman. A summary of the Board's assessment is provided herein with more detail provided in the attached "At-A-Glance" chart.

The Board has determined that Dr. Freeman embodies the qualities of leadership, energy, transparency, performance, and has shown unwavering commitment to Northern Illinois University's mission. Although the University has more work to do to secure its long-term financial future, Dr. Freeman has skillfully navigated NIU through a very tough budget crisis and helped stabilize the university financially.

Dr. Freeman's implementation of new policies will ensure better management of NIU's budget during uncertain state funding periods. In an effort to grow enrollment, retention and graduation rates, to continue to refine academic offerings and to further improve students' experiences on campus, Dr. Freeman has implemented new administrative policies and organizational structure.

We are pleased by the strategic and foundational progress made in one academic year under Dr. Freeman's leadership. Dr. Freeman has exceeded and/or met most of the goals set forth by the Board. We are encouraged with her leadership and look forward to additional progress on the presidential goals in the 2018-2019 academic year.

Truly,

A handwritten signature in black ink that reads "Wheeler Coleman".

Wheeler Coleman, Board Chair



Dr. Lisa Freeman, Acting President * * * * * FY 2018 - Goals

Effective Date: July 1, 2017 - June 30, 2018

Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 1: Grow Student Enrollment & Success</p>	<ul style="list-style-type: none"> Enhance Recruitment Increase Retention Increase Student Success 	<p>Recruitment</p> <ul style="list-style-type: none"> Increase new undergraduate students (Fall 2018) by 5% from Fall 2017 Hold new graduate students (Fall 2018) flat from Fall 2017 Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19. Deploy 8 -10 new online/off-campus programs. <p>Retention</p> <ul style="list-style-type: none"> Increase Fall 2018 overall retention by 0.5% from Fall 2017 <p>Success</p> <ul style="list-style-type: none"> Finalize equity gap goals/strategy for 4 and 6 year graduation rates. 	<p>Recruitment</p> <p>(Recruitment goals are subject to additional review when final results are known in the middle of September)</p> <ul style="list-style-type: none"> In consideration of the new online degree programs, the new off-campus degree completion programs offered at Harper College University Center, and increased advertising efforts, the goal for FY19 is to increase online/off-campus student credit hour (SCH) production by 15%, from 61,096 to 70,260 SCH. There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing content and presence will be updated and expanded. <p>Retention</p> <ul style="list-style-type: none"> These data will not be available until September 2018 <p>Student Success</p> <ul style="list-style-type: none"> Four university-wide metrics will be used to measure overall progress in addressing achievement gaps: new freshman first-year retention rate; new freshman six-year graduation rate; transfer student first-year retention rate; transfer student three-year graduation rate. 	<p>In the area of recruitment and retention the final results will not be know until the middle of Septemeber. We believe NIU is progressing toward these goals and, even if results have not met or exceeded expectations, there is a strong strategy being developed and executed in this area. The online and off campus student credit hour increases for FY19 have met expectations and are being implemented. The new online and off campus programs goal of 8 to 10 new programs has met expectations by acheiving 9 new programs. Overall, we are satisfied with attainment of goals and progress being made to attaining the goals.</p>
<p>Goal 2: Enhance Fiscal Sustainability of NIU</p>	<ul style="list-style-type: none"> Increase Tuition Revenue Increase Philanthropy Align Budget with Mission 	<p>Revenue Growth</p> <ul style="list-style-type: none"> In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M. Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16. <p>Philanthropy</p> <ul style="list-style-type: none"> Report total funds (inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate) raised on goal of \$ 17.5M, with goal of increasing support for unrestricted scholarships. Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19. <p>Increase Alignment of Mission and Budget</p> <ul style="list-style-type: none"> Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide. Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 	<p>Revenue Growth</p> <p>(Revenue Growth goals are subject to additional review when these measures may be verified upon receipt of the year-end statements and financial audit)</p> <p>Philanthropy</p> <ul style="list-style-type: none"> Total funds raised by the NIU Foundation through May 2018, inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate, totaled \$9,991,162, indicating a likely shortfall from the FY 18 goal of \$17.5M. Efforts to increase the expenditure of NIU Foundation funds for scholarships and fellowships were successful. The mutually agreed upon goal was to grow such expenditures by the foundation on behalf of NIU by 10% at the end of FY19 (relative to the FY17 baseline of \$2,974,000), making the FY19 target \$3,271,400. The preliminary June 2018 quarterly reports indicate expenditures in this category of \$3,280,359. Working together, the foundation and university achieved 105% of their shared FY19 goal. <p>Increase Alignment of Mission and Budget</p> <ul style="list-style-type: none"> The most recent final release Integrated Postsecondary Education Data System (IPEDS) data available (FY16) were used to compare NIU to a set of peer institutions that included public universities in IL (SIU-Carbondale, Illinois State University), in the MAC (Western Michigan, Central Michigan, Toledo, Ohio (main campus), and in other regions of the country (East Carolina, Northern Arizona). Summary statistics are included in the supporting material. FY18 IPEDS data will be available next year to calculate the ratio associated with the first year of Freeman's Acting Presidency. For FY16, the ratio was 0.19 (see bottom row of table below). For FY17 the ratio was 0.23. Moving forward, it will be important to understand the nature of the expenditures that contributed to that year-to-year change. There are a number of possibilities, including increased expenditures for marketing/public relations, IT, advancement, legal and fiscal operations, or changes in how functional expenses are classified. Over the course of the past decade. NIU's administrative to instructional cost ratio has varied between a high of 0.23 (FY11, FY13, FY17) and a low of 0.16 (FY15). 	<p>Revenue growth and expense control at an accelerated pace is needed for the university to operate at a sustainable level. While the preliminary results were, in some respects, below expectations, we recognize a re-doubling of focus on revenue and expense enhancements that should manifest into improved results in FY 19. Overall, we believe the university is progressing toward expectations. Final revenue and expense measures will not be known until the end of September. Draft, internal, projections suggest a shortfall in tuition and fee revenue, shortfall in other income including Foundation, and operating expenses declined although weighted towards repairs and maintenance. These measures will need to be verified upon receipt of the year-end statements and financial audit. We appreciate the good practice to measure against IPEDS data, however, the lag in reporting creates a challenge with measuring annual performance. We also recognize good work in executing programs (bookstore, food services, bus service, and student healthcare) that should deliver enhanced service to the students and lower costs to the university starting next year.</p>

Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 3: Implement Program Prioritization</p>	<ul style="list-style-type: none"> Administrative Programs Academic Programs Advance data-informed culture 	<p>Administrative Programs</p> <ul style="list-style-type: none"> Implement 80% of recommendations regarding administrative programs from the President’s November 2016 report by June 2018 <p>Academic Programs</p> <ul style="list-style-type: none"> 75% of academic programs planned for transformation or elimination- complete by June 2018 25% of new academic programs proposed- implementation in progress by June 2018 <p>Advance data-informed culture</p> <ul style="list-style-type: none"> Develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified. 	<p>Administrative Programs</p> <ul style="list-style-type: none"> Program Prioritization recommendations have been implemented for 92% of administrative programs Program Prioritization action plans have been implemented for 88% of the academic programs recommended for transformation or elimination. Implementation is in progress for the four new academic programs recommended by the task force, as well as for both of the program proposals that were advanced in the Academic Affairs Action Plan despite not being supported by task force. <p>Advance data-informed culture</p> <ul style="list-style-type: none"> The academic program review process, overseen by the Academic Planning Council, has institutionalized foundational aspects of the program prioritization framework into their narrative templates and program review dashboards. <p>Beyond its influence on academic program review, Program Prioritization has improved the ways in which we operate, and moved our processes to be more data-informed with greater opportunity for continuous improvement. For example, the Program Prioritization criteria developed by the university community contributed to the framework used to promote a more transparent, collaborative and data-informed budget development process. In addition, Program Prioritization illuminated aspects of the university budgeting process that required modification to be responsive to changing student expectations, and to the evolving roles of technology on our campuses and in our society.</p> <p>Survey data suggest Program Prioritization has had lasting effects at the program level, with significant percentages of respondents reporting strong or moderate agreement with the statement that the process has increased data-informed decision-making in their academic (63%) or administrative (75%) unit.</p>	<p>We recognize the positive financial, structural, curricular, and cultural outcomes from Program Prioritization. Reform efforts concerning administrative and academic programs have exceeded expectations. As of the end of June, 2018, recommendations have been implemented for 92% of administrative programs and 88% of the academic programs recommended for transformation or elimination; and, implementation is in progress for several new academic programs. These efforts have been comprehensive and collaborative, and progress has been meticulously tracked and communicated publicly in periodic progress reports that recognized impressive campus-wide participation in program review, implementation of recommendations, and initiation of complex conversations. A central goal of the Program Prioritization process – to advance data-informed decision-making, assessment, and planning for continuous improvement – has also exceeded expectations. This is particularly evident when we focus on the templates and program review dashboards used within the academic program review process; the principles and framework used to redesign and annually administer the university’s budget process, and related collaboration and consultation baked into the process; and the positive assessments of the increased role of data in decision-making among academic and administrative units. While we understand that the intended focus of Program Prioritization implementation has been to identify opportunities to best align resources with NIU’s mission, rather than as a guideline for specific budget reductions, we also appreciate the fact that Program Prioritization provided valuable insights into the opportunities for executing reductions in ways that would best protect the institutional mission and value. This emerged as essential to shaping budget reductions, reallocations, and strategic program enhancements.</p>
<p>Goal 4: Foster an organizational culture that is ethical and accountable</p>	<ul style="list-style-type: none"> Increase transparent practices Decrease critical audit findings 	<p>Transparency</p> <ul style="list-style-type: none"> Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18. Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19. Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program <p>Audit</p> <ul style="list-style-type: none"> Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution) Implement reports designed to increase university leadership’s awareness of and responsiveness to critical internal audit recommendations. Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days 	<p>Transparency</p> <ul style="list-style-type: none"> This goal has been achieved. This process has been implemented. These programs have been implemented. <p>Audit</p> <ul style="list-style-type: none"> TBD Reports have been implemented. An Internal Audit Agreement has been implemented to outline roles and responsibilities of the internal auditor(s) and auditees. The agreement establishes expectations for timely responses to internal audit requests. 	<p>Reform efforts in terms of increasing transparent practices have exceeded expectations. Examples of this are posting expense reports on the web, an inclusive and transparent university budgeting process, and the creation of the new Ethics and Compliance Office that reports directly into the president. This was accompanied by the appointment of an Acting Ethics and Compliance Officer to oversee a university-level compliance program that includes a Policy Library that is a new repository designed to reduce confusion about NIU policies and procedures, while also minimizing redundancy and ensuring policies are kept up to date. We believe improvement efforts focused on critical audit findings are progressing toward expectations. While the number of audit finding was still at an unacceptable level for FY 2017, these exceptions did not happen during Dr. Freeman’s tenure as Acting President (FY18); however, the responsibility lies with the president to not only respond and address the findings, but to work diligently to reduce the number of findings going forward. During the course of FY18, Dr. Freeman hired a new CFO, who, working with Dr. Freeman and the existing team, is addressing the current audit findings and implementing process and procedures to reduce them going forward. This will occur over additional audit cycles and we will continue to monitor progress.</p>

Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 5: Increase capacity for research, innovation and regional engagement</p>	<ul style="list-style-type: none"> • Increase Regional Engagement • Initiate Research Cluster Strategy 	<p>Regional Engagement</p> <ul style="list-style-type: none"> • Increase number of new partnerships initiated and sustained o FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships. o FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track and report of FY18 partnerships sustained with a target of 20% retention. • Number of students engaged in community projects or internships <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Initiate at least one research cluster/year in FY19 and FY20 • Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19 	<p>Regional Engagement</p> <ul style="list-style-type: none"> • Implementation of the described tool is in progress • This goal is intentionally linked to Goal 6. See Criterion 6.2. <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Advanced Technology for Instruction will be the focus of the research cluster targeted for initiation in FY19. • The PhD in Computer Science was approved by the NIU Board of Trustees on February 15, 2018. There are additional doctoral programs under development with the potential to move through the curricular process during AY 18-19, including three department-based programs in the College of Engineering and Engineering Technology. 	<p>The development of the NIU Partnership Registry demonstrates that the university is progressing toward expectations to establish a baseline and count new partnerships. The plan to track and report new partnerships according to the described goals for FY 19 are therefore in progress. Particular to research and innovation, and related student engagement, we are especially pleased to acknowledge the executed partnership in FY 18 with Discover Financial Services to offer an intensive on-campus internship program for students. Formal activity intended to measure levels of student engagement has met expectations (see Goal 6, under “Engagement” for specific actions). The goal of initiating at least one research cluster in FY19 and FY20, the university is clearly progressing toward expectations in its pursuit of the tentatively titled Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE). This focus on Advanced Technology for Instruction will be aided by the Morgridge Endowed Chair in the College of Education, which will emphasize innovation related to the integration of technology into classroom practice. Recognizing the approval of the Ph.D. in Computer Science, we are also pleased to see that the university is progressing toward expectations concerning its goal of having two new doctoral programs through the NIU/IBHE curricular processes by the end of AY 18-19. Additional indication that the university is progressing toward expectations in the areas of research, innovation and regional engagement include the development of a draft vision for NIU research and innovation, scholarship, and artistry (reviewed by the Board’s Research and Innovation, Legal and Legislative Affairs Committee on November 16, 2017). This draft strategy documents the rationale for new doctoral programming and research clusters and centers that are unique and regionally relevant.</p>
<p>Goal 6: Student Experience</p>	<ul style="list-style-type: none"> • Increase student satisfaction with support services • Increase student engagement 	<p>Student Satisfaction</p> <ul style="list-style-type: none"> • Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19. <p>Engagement</p> <ul style="list-style-type: none"> • Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals. 	<p>Student Satisfaction</p> <ul style="list-style-type: none"> • During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. The outcomes of Phase 1, finalized on March 2, 2018 include an assessment and evaluation matrix, a survey administration map, and a set of goals and objectives linked to the presidential goals. <p>Engagement</p> <ul style="list-style-type: none"> • During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. Phase 2 includes the design of a study on the impact of student’s engagement in high impact practices on student success. Once Phase 2 is completed, the committee will revisit the draft plan developed in Phase 1 to make necessary updates. The final outcome will include targets for engagement and a measurement baseline along with additional recommendations for sustainability and follow-up. 	<p>Recognizing that criteria for measuring student satisfaction has been established, the essential intent of the goals for increasing student satisfaction -- developing a coherent strategy for measuring student satisfaction -- has met expectations. We look forward to seeing strategies being implemented in FY19 to use this criteria to increase student satisfaction. Activity intended to measure levels of student engagement has met expectations. Looking ahead to FY19, we will work with the acting president to set meaningful goals on impacting student retention using the methods and strategies developed this past year.</p>

* The Board evaluates the results as: (1) exceeds expectations, (2) met expectations, (3) progressing toward expectations, or (4) did not meet expectations. Brief explanations are included as needed.



Northern Illinois
University

FY18 PRESIDENTIAL GOALS

Summary of Results, Comments
and Supporting Materials

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Summary of Results and Comments

Presidential/Institutional Goal	FY18 Goal Measurement, Results and Comments
<p>Grow Student Enrollment & Success</p> <ul style="list-style-type: none"> • Enhance Recruitment • Enhance Retention • Enhance Student Success 	<p>Goal Measurement</p> <p>Recruitment</p> <ul style="list-style-type: none"> • Increase new undergraduate students (Fall 2018) by 5% from Fall 2017 • Hold new graduate students (Fall 2018) flat from Fall 2017 • Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19. • Deploy 8 -10 new online/off-campus programs. <p>Retention</p> <ul style="list-style-type: none"> • Increase Fall 2018 overall retention by 0.5% from Fall 2017 <p>Success</p> <ul style="list-style-type: none"> • Finalize equity gap goals/strategy for 4 and 6 year graduation rates. <p>Goal Results and Comments</p> <hr style="border-top: 1px dotted #000;"/> <p>Recruitment</p> <p>Criterion 1.1: Increase new undergraduate students (Fall 2018) by 5% from Fall 2017.</p> <p>Goal Results: These data will not be available until September 2018</p> <p>Criterion 1.2: Hold new graduate students (Fall 2018) flat from Fall 2017</p> <p>Goal Results: These data will not be available until September 2018</p> <p>Criterion 1.3: Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19.</p> <p>Goal Results: In consideration of the new online degree programs, the new off-campus degree completion programs offered at Harper College University Center, and increased advertising efforts, the goal for FY19 is to increase online/off-campus student credit hour (SCH) production by 15%, from 61,096 to 70,260 SCH.</p>

Goal Comments: During FY18, we reviewed SCH generation by delivery mode over the past 6-7 years. The results (included in the supporting material) demonstrate trends that favor continued declines in Main Campus and Off-Campus Face-to-Face SCH and continued increases in Online SCH.

It should be noted, however, that the analysis conducted does not distinguish between a student pursuing an online program and a “main campus student” who is choosing to enroll in online courses, because of the configuration of the university’s data system. Academic Affairs is working to establish a new online program designator in MyNIU that will allow us to properly identify and track students in the online programs and courses and distinguish these students from other off-campus and main campus students. The FY19 goal may be refined and finalized based on data disaggregated using this designator. Establishment of this tracking system is consistent with the Goal 3 success criterion related to advancing a data informed culture at NIU.

Criterion 1.4: Deploy 8 -10 new online/off-campus programs

Goal Results: There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing content and presence will be updated and expanded.

Goal Comments: The supporting material provides greater detail about the nature of the on-line and off-campus programs approved, updated and under development during FY18.

Retention

Criterion 1.5: Increase Fall 2018 overall retention by 0.5% from Fall 2017.

Goal Results: These data will not be available until September 2018

Goal Comments: Fall to Spring retention rates are available for the Fall 2017 cohort. With respect to new freshmen retention, the Fall to Spring retention rate for the Fall 2017 cohort was 88.1% and that figure is similar to retention rates seen for the 2015 and 2016 new freshmen cohorts. The Fall to Spring retention rate for the Fall 2017 cohort of new transfers was 90.8%; that figure is the highest seen for the past six new transfer cohorts.

Student Success

Criterion 1.6: Finalize equity gap goals/strategy for 4 and 6 year graduation rates.

Goal Results: Finalized Equity Gap Goals: Four university-wide metrics will be used to measure overall progress in addressing achievement gaps: new freshman first-year retention rate; new freshman six-year graduation rate; transfer student first-year retention rate; transfer student three-year graduation rate.

Goal Comments: As described in the supporting material, the following goals for these metrics appear to be realistic and meaningful:

1. Maintain the 1st year retention rates for Latinx and Asian-American student at or above the institutional average, understanding that “at average” can fluctuate annually by 1% or 2%.
2. Reduce the 6 year graduation rate gap for Latinx students to 5% or less within three years, and sustain gaps no greater than 5%.
3. Reduce the 1st year retention rate gaps for Black new freshmen to 10% or less within three years, understanding that success will mean consistently staying with 1% to 2% of that range for at least three years.
4. Reduce the 1st year retention rate gaps for Black transfer students to 6% or less within three years, and sustain gaps no greater than 6%
5. Reduce the graduation rate gaps for both Black new freshmen and transfer students to 10% or less within three years, understanding that success will mean consistently staying with 1% to 2% of that range for at least three years.

Finalized Equity Gap Strategies: The supporting material for this goal features a detailed summary of the work done by the NIU Equity team, and recommends six strategies for addressing the equity gap. Academic Affairs and Academic Diversity, Equity & Inclusion have agreed to put particular emphasis in the coming year on closing equity gaps in gateway courses. As noted in the detailed report, each college has its own initiatives that align with the broad university goals, but all will be engaging with efforts to address achievement gaps in gateway courses. Colleges and units are being provided with detailed information about the students in their majors and in their courses. These data identify the gaps in degree completion, retention, course completion and course-level success. They are shared with the colleges and units to increase awareness of gaps, and to provide a means for measuring progress in closing those gaps.

	<p>NIU's commitment to these goals and strategies is supported by collaborations with regional and national initiatives focused on closing equity gaps; these include: AAC&U's Committing to Equity and Inclusive Excellence: Campus-Based Strategies for Student Success, the Chicago-based Partnership for College Completion, Presidents for Latino Student Success, Excelencia in Education, and the APLU Transformation Cluster initiative.</p>
<p>Enhance Fiscal Sustainability of NIU</p> <ul style="list-style-type: none"> • Increase Tuition Revenue • Increase Philanthropy • Align Budget with Mission 	<p>Goal Measurement</p> <p>Revenue Growth</p> <ul style="list-style-type: none"> • In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M. • Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16. <p>Philanthropy</p> <ul style="list-style-type: none"> • Report total funds (inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate) raised on goal of \$ 17.5M, with goal of increasing support for unrestricted scholarships. • Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19. Increase Alignment of Mission and Budget <p>Align Budget with Mission</p> <ul style="list-style-type: none"> • Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide. • Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 <p>Goal Results and Comments</p> <hr/> <p>Revenue Growth</p> <p>Criterion 2.1: In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M</p> <p>Goal Results: These data will not be available until Fall 2018</p>

Criterion 2.2 (FY19): Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16.

Goal Results: This is an FY19 goal, because of the lagged reporting timeline. IPEDS data reported for FY18 will be available in FY19. Currently, FY16 IPEDS finance data are available in final release form, and FY17 IPEDS finance data are considered provisional (see supporting material). Revenue sources other than appropriations, tuition and fees may include gifts, grants, contracts, sales of goods and services, and investment returns.

Philanthropy

Criterion 2.3: Report total funds (inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate) raised on goal of \$ 17.5M, with goal of increasing support for unrestricted scholarships.

Goal Results: Total funds raised by the NIU Foundation through May 2018, inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate, totaled \$9,991,162, indicating a likely shortfall from the FY 18 goal of \$17.5M.

Goal Comments: In large part, this ebb in fundraising is a direct reflection of the difficulties of FY16 and FY17, including public relations and reputational challenges, as well as the direct and indirect consequences of the fiscal challenges associated with the IL budget impasse. These factors contributed to an exodus of key fundraising staff, and a severely diminished capacity to refill vacant staff positions. More positive results are expected in FY19, because of the maturation of new corps of gift officers hired in FY18 who are being fully integrated into our program, the expected hires of a chief development officer and director of planned giving (failed searches in FY18), and the anticipated appointment of the next permanent president.

Criterion 2.4 (FY19): Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19.

Goal Results: Efforts to increase the expenditure of NIU Foundation funds for scholarships and fellowships were successful. The mutually agreed upon goal was to grow such expenditures by the foundation on behalf of NIU by 10% at the end of FY19 (relative to the FY17 baseline of

\$2,974,000), making the FY19 target \$3,271,400. The preliminary June 2018 quarterly reports indicate expenditures in this category of \$3,280,359. Working together, the foundation and university achieved 105% of their shared FY19 goal.

Goal Comments: Also of note, this past year's Red & Black was, for the second year, positioned as a fundraising event. Over \$400,000 was raised for scholarships, with a gathering of 496 attendees. This was a substantial increase over the previous year, where 418 attended, and \$ 317,000 was raised.

Align Budget with Mission

Criterion 2.5: Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide.

Goal Results: The most recent final release Integrated Postsecondary Education Data System (IPEDS) data available (FY16) were used to compare NIU to a set of peer institutions that included public universities in IL (SIU-Carbondale, Illinois State University), in the MAC (Western Michigan, Central Michigan, Toledo, Ohio (main campus)), and in other regions of the country (East Carolina, Northern Arizona). Summary statistics in the first three rows of the table below show percent distribution of core expenses for instruction, research+public service, and academic support+student services+institutional support.

Goal Comments: Our effort to use finance data submitted to IPEDS by NIU and peer institutions more strategically is consistent with a national effort to explore how existing data and indicators can be used to answer institutional questions about resource utilization. A recent report, Identifying New Metrics Using IPEDS Finance Data, noted that the IPEDS finance survey is very valuable, because it is the only publicly available source of finance data for most US post-secondary institutions, and an important data source for making comparisons across institutions and over time. However, the report also noted that there are challenges using the finance survey information to make some comparisons. For example, the IPEDS finance survey uses existing cost accounting frameworks as the standards for submission. This limits comparisons between public institutions that submit based on Governmental Accounting Standards Board (GASB) and private institutions that submit based on Financial Accounting Standards Board (FASB). Time-trend data may be difficult to interpret, because of the periodic changes in data collection dictated by changes in accounting standards. In addition, comparisons across peer institutions may be confounded by inconsistencies in how universities attribute expenditures to

the IPEDS categories. Over the short term, NIU will work to understand how to use current IPEDS finance data most effectively. At the same time, the university will monitor, and support as appropriate, national efforts to clarify IPEDS definitions, and to redesign the IPEDS finance survey.

Criterion 2.6 (FY19): Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18.

Goal Results: FY18 IPEDS data will be available next year to calculate the ratio associated with the first year of Freeman’s Acting Presidency. For FY16, the ratio was 0.19 (see bottom row of table below). For FY17 the ratio was 0.23. Moving forward, it will be important to understand the nature of the expenditures that contributed to that year-to-year change. There are a number of possibilities, including increased expenditures for marketing/public relations, IT, advancement, legal and fiscal operations, or changes in how functional expenses are classified. Over the course of the past decade, NIU’s administrative to instructional cost ratio has varied between a high of 0.23 (FY11, FY13, FY17) and a low of 0.16 (FY15).

Goal Comments: The instructional cost ratio is calculated using IPEDS data as: institutional support/(instruction + academic support), and is shown in the bottom row of the table below for NIU and the peer group defined above under criterion 2.4. For additional comparison, the median for public 4-year universities with enrollment and research intensity similar to NIU’s is 0.20. The median for private, not-for-profit universities with enrollment and research intensity similar to NIU’s is 0.24. The ratio varies considerably across Illinois public universities, as evidenced by FY 16 ratios of 0.19 for NIU, 0.10 for SIU-Carbondale and 0.31 for ISU.

	NIU	MIN	MAX	MEDIAN	MEAN
Instruction	41%	35%	56%	43%	46%
Research+ Public Service	10%	6%	14%	11%	11%
Academic Support+Institutional Support+Student Services	22%	22%	49%	31%	32%
Institutional Support ÷ (Instruction+Academic Support)	19%	10%	31%	19%	19%

Implement Program Prioritization

- Administrative Programs
- Academic Programs
- Advance Data-Informed Culture

Goal Measurement

Administrative Programs

- Implement 80% of recommendations regarding administrative programs from the President’s November 2016 report by June 2018

Academic Programs

- 75% of academic programs planned for transformation or elimination- complete by June 2018
- 25% of new academic programs proposed- implementation in progress by June 2018

Advance Data-Informed Culture

- Develop strategy and template to ensure that continuous improvement activities identified through the Program Prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Goal Results and Comments

Administrative Programs

Criterion 3.1: Implement 80% of recommendations regarding administrative programs from the President’s November 2016 report by June 2018.

Goal Results: Program Prioritization recommendations have been implemented for 92% of administrative programs

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President’s Program Prioritization Report](#) provides more detail.

Academic Programs

Criterion 3.2: 75% of academic programs planned for transformation or elimination- complete by June 2018.

Goal Results: Program Prioritization action plans have been implemented for 88% of the academic programs recommended for transformation or elimination.

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President’s Program Prioritization Report](#) provides more detail.

Criterion 3.3: 25% of new academic programs proposed- implementation in progress by June 2018.

Goal Results: Implementation is in progress for the four new academic programs recommended by the task force, as well as for both of the program proposals that were advanced in the Academic Affairs Action Plan despite not being supported by task force.

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President's Program Prioritization Report](#) provides more detail.

Advance Data-Informed Culture

Criterion 3.4: Develop strategy and template to ensure that continuous improvement activities identified through the Program Prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Goal Results: The academic program review process, overseen by the Academic Planning Council, has institutionalized foundational aspects of the Program Prioritization framework into their narrative templates and program review dashboards.

Beyond its influence on academic program review, Program Prioritization has improved the ways in which we operate, and moved our processes to be more data-informed with greater opportunity for continuous improvement. For example, the Program Prioritization criteria developed by the university community contributed to the framework used to promote a more transparent, collaborative and data-informed budget development process. In addition, Program Prioritization illuminated aspects of the university budgeting process that required modification to be responsive to changing student expectations, and to the evolving roles of technology on our campuses and in our society.

Survey data suggest Program Prioritization has had lasting effects at the program level, with significant percentages of respondents reporting strong or moderate agreement with the statement that the process has increased data-informed decision-making in their academic (63%) or administrative (75%) unit.

Goal Comments: The supporting material provides a more detailed description of the work of the Academic Planning Council, including exemplars of the APC program review template and dashboard. The [June 28, 2018 President's Program Prioritization Report](#) provides more detail

	<p>about the impacts of Program Prioritization on data-informed decision-making, accountability and continuous-improvement.</p>
<p>Foster an organizational culture that is ethical and accountable</p> <ul style="list-style-type: none"> • Increase transparent practices • Decrease critical audit findings 	<p>Goal Measurement</p> <p>Transparency</p> <ul style="list-style-type: none"> • Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18. • Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19. • Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program <p>Audit</p> <ul style="list-style-type: none"> • Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution) • Implement reports designed to increase university leadership’s awareness of and responsiveness to critical internal audit recommendations. • Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days <p>Goal Results and Comments</p> <hr/> <p><i>Transparency</i></p> <p>Criterion 4.1: Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18.</p> <p>Goal Results: This goal has been achieved.</p> <p>Goal Comments: See: https://www.niu.edu/president/_pdf/expense-reports/expense-report-fy18.pdf</p> <p>Criterion 4.2: Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and</p>

thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19.

Goal Results: The process has been implemented

Goal Comments: The process was described to the NIU Board of Trustees on June 14, 2018, and the presentation is [posted](#).

Criterion 4.3: Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program.

Goal Results: These programs have been implemented.

Goal Comments: Progress towards this goal was described to the NIU Board of Trustees on June 14, 2018, and the presentation is posted. An announcement appeared in NIU Today on July 2, 2018:

<https://www.niutoday.info/2018/07/02/reorganization-creates-new-office-of-ethics-and-compliance/>

Audit

Criterion 4.4 (FY19): Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution). To allow for two cycles, this an FY19 goal.

Goal Results: This is an FY19 goal.

Criterion 4.5: Implement reports designed to increase university leadership's awareness of and responsiveness to critical internal audit recommendations.

Goal Results: Reports have been implemented.

Goal Comments: The reporting process was described to the NIU Board of Trustees on June 14, 2018, and the presentation is [posted](#).

Criterion 4.6: Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days.

	<p>Goal Results: An Internal Audit Agreement has been implemented to outline roles and responsibilities of the internal auditor(s) and auditees. The agreement establishes expectations for timely responses to internal audit requests.</p> <p>Goal Comments: The agreement was described to the NIU Board of Trustees on June 14, 2018, and the presentation is posted. The template is included in the supporting material</p>
<p>Increase capacity for research, innovation and regional engagement</p> <ul style="list-style-type: none"> • Increase Regional Engagement • Initiate Research Cluster Strategy 	<p>Goal Measurement</p> <p>Regional Engagement</p> <ul style="list-style-type: none"> • Increase number of new partnerships initiated and sustained <ul style="list-style-type: none"> ○ FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships. ○ FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track and report of FY18 partnerships sustained with a target of 20% retention. • Number of students engaged in community projects or internships <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Initiate at least one research cluster/year in FY19 and FY20 • Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19 <p>Goal Results and Comments</p> <hr/> <p>Regional Engagement</p> <p>Criterion 5.1: Increase number of new partnerships initiated and sustained. For FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships.</p> <p>Goal Results: Implementation of the described tool is in progress</p> <p>Goal Comments: See: https://www.niu.edu/president/partnerships/index.shtml</p> <p>Criterion 5.2 (FY19): For FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track</p>

and report of FY18 partnerships sustained with a target of 20% retention.

Goal Results: This is an FY19 goal

Criterion 5.3 Number of students engaged in community projects or internships

Goal Results/Comments: This goal is intentionally linked to Goal 6. See Criterion 6.2.

Research Cluster Strategy

Criterion 5.3 (FY19 goal): Initiate at least one research cluster/year in FY19 and FY20.

Goal Results: Advanced Technology for Instruction will be the focus of the research cluster targeted for initiation in FY19.

Goal Comments: Preliminary discussions among the colleges, the Provost Office and the Division of Research and Innovation Partnerships have identified potential research clusters and centers that are distinctive, regionally relevant, and for which NIU has expertise. These include advanced technology for education, advanced manufacturing, biomedical engineering, aging in community, data sciences and visualization, water in a changing world, restoration of damaged ecosystems, and environmental policy. Advanced technology for education is well situated for initiation in FY19 and will be built around the Morgridge Chair in the College of Education. The tentatively titled, Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE) will be on the leading edge of the education-technology frontier, crossing disciplinary boundaries to bring innovative research programs to NIU with a focus on robotics and computers as educational aids.

Criterion 5.4 (FY19): Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19.

Goal Results: The PhD in Computer Science was approved by the NIU Board of Trustees on February 15, 2018. There are additional doctoral programs under development with the potential to move through the curricular process during AY 18-19, including three department-based programs in the College of Engineering and Engineering Technology.

<p>Student Experience</p> <ul style="list-style-type: none"> • Increase student satisfaction with support services • Increase student engagement 	<p>Goal Measurement</p> <p>Student Satisfaction</p> <ul style="list-style-type: none"> • Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19. <p>Engagement</p> <ul style="list-style-type: none"> • Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals. <p>Goal Results and Comments</p> <hr/> <p>Student Satisfaction</p> <p>Criterion 6.1: Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19.</p> <p>Goal Results: During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. The outcomes of Phase 1, finalized on March 2, 2018 include an assessment and evaluation matrix, a survey administration map, and a set of goals and objectives linked to the presidential goals.</p> <p>Goal Comments: The membership of the working group and more detailed version of their plan can be found in the supporting materials.</p> <hr/> <p>Student Engagement</p> <p>Criterion 6.2: Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals.</p> <p>Goal Results: During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. Phase 2 includes the design of a study on the impact of student’s engagement in high impact practices on student success. Once Phase 2 is completed, the committee will revisit the draft plan developed in Phase 1 to make necessary updates. The final outcome will include targets for engagement</p>
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	<p>and a measurement baseline along with additional recommendations for sustainability and follow-up.</p> <p>Goal Comments: The membership of the working group and more detailed version of their plan can be found in the supporting materials.</p>
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Supporting Material

GOAL 1: GROW STUDENT ENROLLMENT AND SUCCESS

Criterion 1.3: Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19.

Criterion 1.4: Deploy 8 -10 new online/off-campus programs.

Supporting Material: Prepared by Jason Rhode, Executive Director of Extended Learning

Goal: Develop method and establish baseline in FY18 for student credit hours produced in online and off-campus programs

During FY18, a review of student credit hour (SCH) generation over the past six years by delivery mode was conducted, which included: Main Campus Face-to-Face (MC F2F) courses, Off-Campus Face-to-Face course (OC F2F), Main Campus Hybrid (MC Hybrid) courses, Off-Campus Hybrid Courses (OC Hybrid), and 100% Online (Online) courses.

Table 1: Total Student Credit Hours (SCH) by Location / Modality

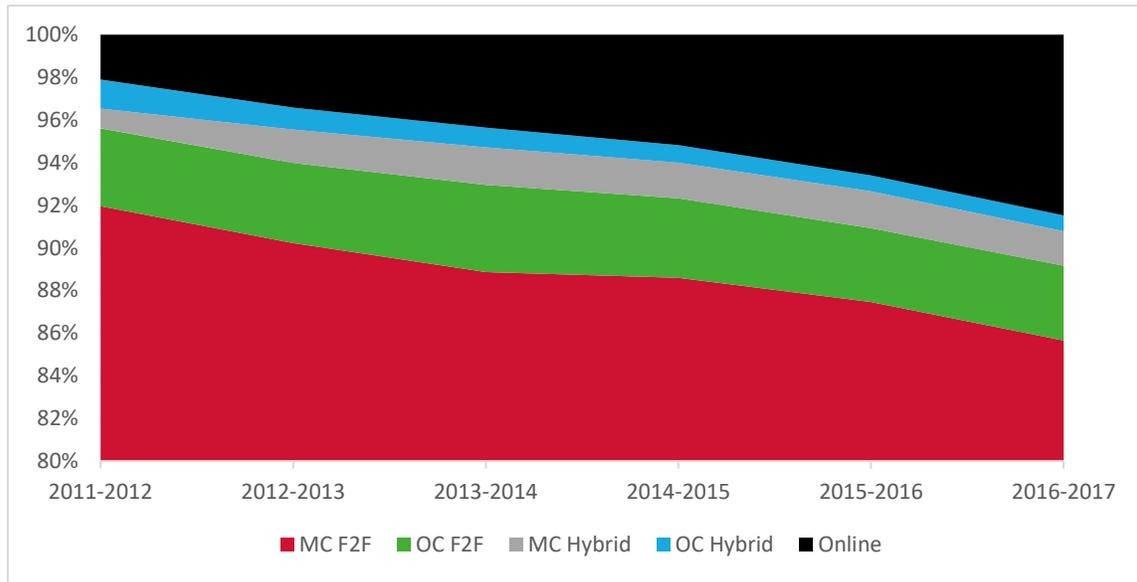
	AY11-12	AY12-13	AY13-14	AY14-15	AY15-16	AY16-17
MC F2F	487,758	457,086	432,243	421,810	406,100	377,936
OC F2F	19,355	19,084	19,911	17,739	16,098	15,454
MC Hybrid	4,938	7,895	8,563	7,979	8,031	7,157
OC Hybrid	7,181	5,208	4,551	3,889	3,475	3,282
Online	11,183	17,337	21,161	24,681	30,611	37,396
Total SCH	530,415	506,610	486,429	476,098	464,315	441,225

Examining the percentage of total SCH by modality, steady declines in Main Campus and Off-Campus Face-to-Face SCH are evident, with converse increases in Online SCH productivity, as shown in Table 2 and Figure 1 below.

Table 2: Percentage of Total Student Credit Hours (SCH) Generated by Location / Modality

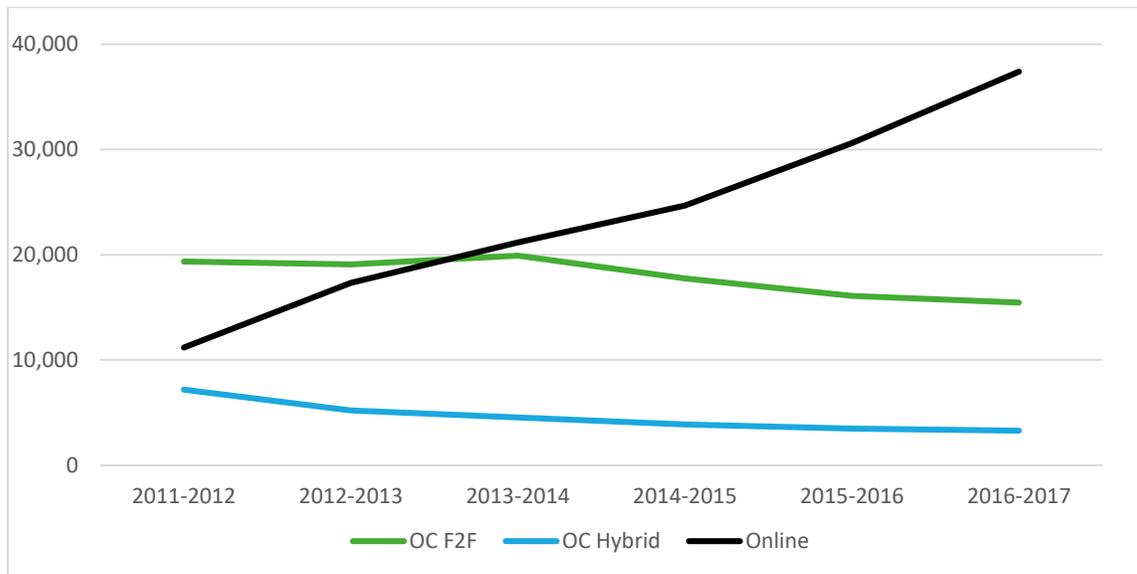
	AY11-12	AY12-13	AY13-14	AY14-15	AY15-16	AY16-17
% SCH MC F2F	92.0%	90.2%	88.9%	88.6%	87.5%	85.5%
% SCH OC F2F	3.6%	3.8%	4.1%	3.7%	3.5%	3.5%
% SCH MC Hybrid	0.9%	1.6%	1.8%	1.7%	1.7%	1.6%
% SCH OC Hybrid	1.4%	1.0%	0.9%	0.8%	0.7%	0.7%
% SCH Online	2.1%	3.4%	4.4%	5.2%	6.6%	8.5%

Figure 1: Percentage of SCH by Location / Modality



Looking solely at off-campus and online SCH production, the trends in online SCH growth as compared to flat and declining off-campus SCH are clear (see Figure 2).

Figure 2: Trends in Off-Campus and Online SCH



In summary, over the past six years, online SCH have more than tripled (increasing from approx. 11,000 to 37,000 SCH), while main campus decreased 109,000 SCH. Additionally, SCH for courses with an off-campus component (either face-to-face off campus or hybrid with their face-to-face component) have declined over that same period from approx. 26,000 SCH to approx. 19,000 SCH, a loss of nearly 30%.

However, it should be noted that this analysis doesn't identify who is taking online or off-campus courses, as NIU's data system hasn't been configured to distinguish between a student pursuing an online program and a

“main campus student” who is choosing to enroll in online courses. An unofficial attempt to estimate that distinction suggested that over one-third of all main campus students take at least one online course per year; while only about 2% of NIU’s students are seeking to complete a fully online program. The need to clarify this issue has created an important new goal for us, described next.

Establishing Online Program Designator to MyNIU

Seeking to establish baseline SCH for online and off-campus programs accentuated the need for properly admitting, tracking, and reporting on students who are in online programs. At present, the university doesn’t centrally track online program enrollments distinctly from other main campus or off-campus programs, only whether a course is delivered on main campus in DeKalb or off-campus, and the mode of delivery (face-to-face, hybrid, or online).

Academic Affairs is working to establish a new online program designator in MyNIU that will allow us to properly identify online programs, control courses offered online, assess tuition/fees and prepare financial aid budgets at a more granular level, track, and report students in the online programs and courses and distinguish these students from other off-campus and main campus students. Starting at the point of admission we will be able to identify students who are interested in online programs, allowing us to admit, assess tuition and fees, budget for financial aid, restrict enrollment into online classes, track and report accurately from admission through graduation.

A team from Registration & Records, Financial Aid, Institutional Effectiveness, Information Technology and other offices has been working through all of the technical and logistical issues associated with creating a designator for online programs in MyNIU. The goal is to activate this feature for Fall 2019.

Goal: Deploy 8-10 new online/off-campus programs

There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing presence will be expanded or renovated.

New online programs approved in FY18 and under development:

- M.S. in Digital Marketing
- M.S. in Data Analytics
- Graduate Certificate in Data Analytics

Existing programs, not currently online, but online mode being developed:

- BGS (Bachelor of General Studies) ***NOTE – The courses in this bundle of GenEd courses are distributed across the NIU PLUS Pathways and being developed online will allow for new full-fledged online undergraduate programs to be developed to meet market demand*
- MPA (Master of Public Administration)
- Graduate Certificate in Public Management

37 new online courses are in development for these programs, to launch by fall '19

Existing online programs under renovation / major updates underway:

- RN-BS in Nursing

- B.A. in Political Science
- Undergraduate Certificate in Geographic Information Systems (GIS)
- Graduate Certificate in Geographic Information Analysis (GIA)

15 online courses are in redesign for these programs, for launch by fall '19

New off-campus programs in development:

- Harper College University College will host three NIU undergraduate degree completion programs in Computer Science, Marketing, and Psychology beginning in Fall 2018
- College of Education has expanded its off-campus cohorts in Bilingual Education
- College of Liberal Arts & Sciences and College of Visual & Performing Arts are working with school districts in and around Harper College to give high school mathematics teachers and art teachers the credentials needed to deliver dual credit courses

Existing / new programs, not currently online, in preliminary discussions for being developed online:

- Master of Jurisprudence (MJ) – online master’s degree in law for non-lawyers
- M.S. in Taxation

Criterion 1.6: Finalize equity gap goals/strategy for 4 and 6 year graduation rates.

Supporting Material: Prepared by Vernese Edghill-Walden, Chief Diversity Officer and Senior Associate Vice President for Diversity, Equity & Inclusion

Strategies for Addressing Equity Gaps

The strategies for addressing the equity gap are found in the accompanying document “NIU Equity Team Report 2017”. The six strategies explored there include:

1. Explore the wide-ranging impact gateway courses have on underserved students’ access to numerous majors, minors, and certificates and can ultimately limit their professional options and career paths.
2. Address the complexity that students face in balancing work, family, and school and its impact on academic performance.
3. Create a comprehensive professional development initiative focusing on culturally responsive pedagogy that will be available for all faculty, existing instructors and Graduate Teaching Assistants and will be required for all new hires.
4. Increase the interaction between students and faculty, especially in the first year.
5. Actively recruit and retain more faculty of color, especially in tenure-track positions, and address existing inequities in current hiring and retention practices.
6. Examine the academic and financial impact of NIU’s add/drop policies.

While all of these are important, Academic Affairs and Academic Diversity, Equity & Inclusion have agreed to put particular emphasis in the coming year on the first goal, closing equity gaps in gateway courses. As noted in the detailed report, each college has its own initiatives that align with the broad university goals, but all will be engaging with efforts to address achievement gaps in gateway courses.

Goals for Addressing Equity Gaps

Data on equity gaps is being used to set expectations at both the tactical and strategic levels. At the tactical level, the colleges and units have been supplied with detailed information about the students in their majors and in their courses. This data identifies the gaps in degree completion, retention, course completion and course-level success. It is provided to the colleges and units to increase awareness of gaps and provide a means for measuring progress in closing those gaps.

At a higher strategic level, we have identified four university-wide metrics to measure overall progress in addressing achievement gaps:

Measure	Current Value		
	Black	Latinx	Asian-Amer.
New Freshman First Year Retention Rate	-15%	+1%	+10%
New Freshman Six Year Graduation Rate	-16%	-7%	+6%
Transfer Student First Year Retention Rate	-11%	-2%	-3%
Transfer Student Three Year Graduation Rate	-16%	-1%	+7%

The table shows the difference between the retention/graduation rates for each group and the overall rates for students entering that year. Thus, a positive value for a particular group means that group had a better retention/graduation rate than the overall rate, and a negative value indicates an achievement gap.

When historical trends are considered, there are broadly consistent patterns:

- Asian-American students tend to have retention and graduation rates at or above average.
- Latinx have little to no gap in retention (either for freshmen or transfer students), but have more significant gaps in graduation rates for freshmen.
- Black students have significant equity gaps in all measures. The gaps for graduation rates are more severe than those for first-year retention. For all four measures, there has been considerable fluctuations in the sizes of the gaps, but regardless of the metric considered, there has rarely been a gap of less than 10%, and gaps on the order of 15% or more have been common.

In setting goals, the significant year-to-year variability needs to be taken into account. For retention rates, a year-to-year fluctuation of 2% or less is not necessarily significant. For degree attainment, year-to-year fluctuations are even more difficult to estimate, as the data trail is much shorter.

Given those considerations, the following goals for these metrics appear to be realistic and meaningful:

- Maintain the 1st year retention rates for Latinx and Asian-American student at or above the institutional average, understanding that “at average” can fluctuate annually by 1% or 2%.
- Reduce the 6 year graduation rate gap for Latinx students to 5% or less within three years, and remain consistently with gaps no greater than 5%.
- Reduce the 1st year retention rate gaps for Black new freshmen to 10% or less within three years, understanding that success will mean consistently staying with 1% - 2% of that range for at least three years.
- Reduce the 1st year retention rate gaps for Black transfer students to 6% or less within three years, and remain consistently with gaps no greater than 6%

- Reduce the graduation rate gaps for both Black new freshmen and transfer students to 10% or less within three years, understanding that success will mean consistently staying with 1% - 2% of that range for at least three years.

GOAL 2: ENHANCE FISCAL SUSTAINABILITY OF NIU

Criterion 2.2 (FY19): Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16.

Supporting Material: See IPEDS Data Release Procedures (Appendix Item 1)

Criterion 2.3: Report total funds (inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate) raised on goal of \$ 17.5M, with goal of increasing support for unrestricted scholarships.

Criterion 2.4 (FY19): Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19.

Supporting Material: Prepared by Catherine Squires, Vice President for Advancement and CEO NIU Foundation

FY18 was a significant building year for the NIU Foundation and University Advancement – a critical time during which numerous important changes were made. Of note:

- Alumni Engagement** – the Division focused aggressively on alumni engagement in FY18, beginning with the reorganization of the staff. Both a director and manager of volunteer engagement were hired (new positions) and significant work was accomplished both internally and externally. Principally, strong connections were established at the college level to ensure coordination of alumni engagement as well as the development of a volunteer pipeline. Additionally, the Northern Illinois University Alumni Association's (NIUAA) new engagement platform, NEXUS, went live in March and serves as a central portal through which to facilitate the identification and engagement of alumni volunteers university wide.
- Donor Development** - resource constraints in past years prevented the Division from aggressively engaging with alumni outside the Midwest. As a result, relationships today are few, yet research informs us that the capacity to give exists in strong numbers. As a result, a strategic resourcing decision was made to deliver more programming in the field. In partnership, the NIUAA and the Northern Illinois University Foundation (NIUF) executed a robust calendar of external events covering 5 of the University's top markets: Chicago, San Diego, Phoenix, Denver, Washington D.C. (twice) and San Francisco. Using a hybrid event model, the two organizations shared resources and programmed for multiple audiences: happy hours, receptions or dinners in private homes or clubs, group outings at sporting events, etc. While we did not attract the ideal numbers in this first year, the trips all produced significant progress markers with either new or key donors.
- Fundraising staff** – for the first time in history, all colleges were fully staffed are dedicated gift officers. New staff were hired into new positions in the College of Visual and Performing Arts (CVPA), the College of Law (CLAW), the College of Health and Human Sciences (CHHS) and the College of Education (COE).

New staff were hired into existing positions in the College of Business (COB) (2 positions) and the College of Liberal Arts and Sciences (CLAS). Additionally, a new Regional Director of Development was hired (existing position) and a new Director of Advancement for Athletics was hired (new position). So out of a total of 10 fundraising positions at the director level, 9 were either new hires, or staff moving into new roles.

- d) **Fundraising strategies** – a very deliberate shift in fundraising strategies began in FY18. All fundraising strategies at the “system level,” meaning Annual Fund and TeleFund efforts, were shifted to align with the need for unrestricted revenue. Gift officers at the college level, in addition to focusing on the short list of priorities within each college, also began to socialize the case for unrestricted revenue and general scholarship support. While results will be fully analyzed after the close of the fiscal year, early indications are that a more general appeal has been very successful acquiring first time donors.
- e) **Undocumented student funding workgroup** – in collaboration with leaders from DREAM Action NIU, the Student Association (SA) and NIU’s Office of Academic Diversity, Equity and Inclusion (ADEI), a working group to explore ways to raise funds for undocumented students was formed. Two important outcomes thus far: An SA-sponsored referendum to create an “opt in” student fee to help fund scholarships; a new gift of \$50,000 from NIUF Board Member Chris Cole and her husband, Tim to support the Dream Scholarship Fund.
- f) **Strategic expansion of NIU Foundation efforts** - over the past two years, the NIUF has been engaged in strategic dialogue with both the leaderships of the BOT as well as the NIU Alumni Association in order to assure alignment of University Related Organization (URO) goals to university needs. Recognizing the critical need for unrestricted revenue as well as funds for scholarships, the Foundation chose to expand further its efforts to diversify revenue in order to provide greater impact. In addition to redirection of the Red and Black as a fundraiser and the development of a focused scholarship campaign, the Foundation, at its May meeting, struck two task forces to explore opportunities in both real estate and venture funding for innovation. The Real Estate Task Force will be chaired by Montel Gayles, and the Innovation Task Force by John Burns.

Criterion 2.4: Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide.

Criterion 2.5: Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 .

Supporting Materials: See IPEDS data release handout (Appendix Item 1) and the Administrative Cost Guide (Appendix Item 2)

GOAL 3: IMPLEMENT PROGRAM PRIORITIZATION

Criterion 3.4: Develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Context:

The third goal of the published FY18 Presidential Goals is to “Implement Program Prioritization.” One of the subgoals is to “develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.”

An important part of the context for our response to this are the existing institutional assessment structures. The most important of these is program review. Per state mandates, NIU engages in a regular cycle of academic program reviews. This eight-year cycle ensures that every degree program and academic center is reviewed, with reports to the NIU Board of Trustees and Illinois Board of Higher Education.

Response:

Over the past two years, the focus of institutionalization of Program Prioritization has been the integration with program review. The Executive Vice President & Provost, the Vice Provost for Institutional Effectiveness and the Academic Planning Council (APC) have worked together over the past two years to draw program review and Program Prioritization together in the ongoing advancement of continuous improvement within academic program reviews. To date, the following has been accomplished:

- A key element of the Program Prioritization process was the construction of program narratives crafted by the units. These serve as the foundational documents upon which the APC conducts program review. These comprehensive narratives provide the APC with data and analysis on numerous aspects of the eight program prioritization criteria: quality of faculty and faculty outcomes; quality of students and student outcomes; financial efficiency; importance of the program to the university mission; program potential; external demand of the program; internal demand of the program; and the program’s contribution to diversity. These documents, along with the Program Prioritization Academic Task Force’s recommendation for the programs, now serve as the starting point for program review discussions by the APC.
- A streamlined template for academic program representatives to complete accompanies the narrative, and explicitly requests that program representatives address continuous quality improvement activities, updates that have occurred since the program narrative was drafted that would be pertinent to the APC’s review; and aspects of some of the eight criteria (e.g., activities and outcomes pertaining to student recruitment/retention and degree completion). See Appendix A.
- A Program Review Dashboard has been added to the program review process (see Appendix B), that provides data and analysis, some of which were also incorporated into the program prioritization process, and all of which support the criteria for program prioritization and continuous quality improvement in academic programs. This dashboard serves as a focal point for discussion between the APC, program representatives, and the Office of the Provost staff in subcommittee meetings of the APC.

These changes to the program review process represent a thoughtful and deliberate institutionalization of the benefits of the program prioritization framework, situated within the shared governance committee, the APC, charged with the oversight of academic program review.

GOAL 4: FOSTER AN ORGANIZATIONAL CULTURE THAT IS ETHICAL AND ACCOUNTABLE

Criterion 4.6: Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days.

Supporting Material: Template for Internal Audit Agreement

INTERNAL AUDIT AGREEMENT

This agreement serves to outline expectations of the internal auditor(s) and the employees of {DEPARTMENT} (“Auditee”) for the FY{YEAR} audit of {AUDIT TITLE}. NIU’s Internal Audit Department conducts their audits in accordance with the “International Standards for the Professional Practice of Internal Auditing” published by the Institute of Internal Auditors. Internal Audit provides independent and objective assurance and consulting services to evaluate and recommend improvements to departmental operations. NIU Internal Audit also assists the Board of Trustees and University management in the effective discharge of their oversight, management, and operating responsibilities. This agreement also serves to facilitate President Lisa Freeman’s FY2018 goal to “foster an organizational culture that is ethical and accountable.” See expectations below for all parties involved in the internal audit.

The Internal Auditor Shall:	The Auditee Shall:
<ul style="list-style-type: none"> • Provide notification of the need to complete fieldwork in the department’s office two business days in advance, at minimum. • If the audit takes significantly longer than originally anticipated, offer a verbal or written interim report. • Provide notification if additional testing is required that falls outside the original scope of the audit. • Consider any special requests from the auditee to perform additional testing of specified areas of concern. • Conduct a meeting to discuss all preliminary audit findings with department representative(s) before the draft of the internal audit report is issued. • Provide draft report to department and allow two weeks for department representatives to provide responses to all audit report recommendations. • Conduct an exit conference to discuss any questions and planned management responses to audit report recommendations. 	<ul style="list-style-type: none"> • Provide an in-office workspace for the auditor, as well as timely access to the working area, department personnel, and records necessary to complete audit work. • For audit requests of items which are in existence (i.e. files, reconciliations), provide item(s) to the auditor within three business days. • For audit requests of items not in existence (i.e. data extracts), provide item(s) to the auditor within ten business days. If this is not feasible, contact Internal Audit Director within five business days of the initial request to determine a mutually acceptable time-line. • Provide responses to audit report recommendations within two weeks of the auditor’s request unless an extension is requested of and granted by the Internal Audit Director.

By signing below, we accept and agree to the terms listed above:

Internal Auditor	Date	Department Representative	Date
Internal Audit Director	Date		

cc (email): {VICE PRESIDENT OF OPERATION}

GOAL 6: (ENHANCE) STUDENT EXPERIENCE

Criterion 6.1: Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19.

Criterion 6.2: Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals.

Supporting material: See SESS Status Update FINAL (Appendix Item 3)

APPENDIX

Item 1: IPEDS Data Collection & Release Procedures

Data Collection & Release Procedures

Be the first to know when data are released!

- ✓ Sign up for releases of the IPEDS *First Look* reports through the IES newsflash at <http://ies.ed.gov/newsflash/#nces>.
- ✓ Follow IPEDS on Twitter at http://twitter.com/ipeds_nces.
- ✓ Sign up for This Week in IPEDS announcements at <https://nces.ed.gov/ipeds/this-week-in-ipeds>.

About IPEDS

The Integrated Postsecondary Education Data System (IPEDS) is an annual data collection distributed by the Postsecondary Branch of the National Center for Education Statistics (NCES), a non-partisan center within the Institute of Education Sciences under the U.S. Department of Education. NCES is the primary federal entity for collecting and analyzing data related to education in the U.S. and other nations.

Postsecondary institutions submit IPEDS data annually through 12 interrelated survey components. Data in a collection year (cycle) are reported in **3 periods**, and the data for each period are distributed in **3 corresponding releases**.

What data are collected in each period?

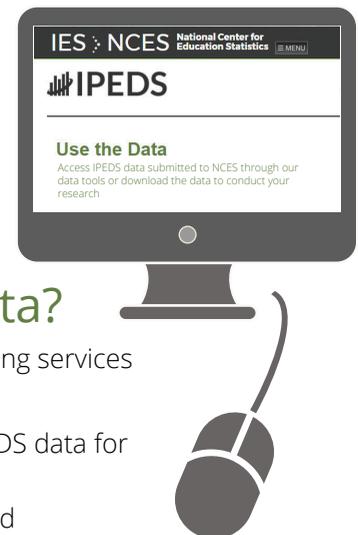
The table below shows the survey components administered during each of the 3 periods in a collection year.¹ As noted, some data are collected for the prior year. This allows institutions time to prepare the most current and complete data prior to reporting to IPEDS. For example, Student Financial Aid data are reported in December 2016 through March 2017 for aid awarded during fall 2015 through summer 2016.

Fall (Aug.–Nov.)	Winter (Dec.–Mar.)	Spring (Dec.–April)
<ul style="list-style-type: none"> • Institutional Characteristics* • Completions • 12-Month Enrollment 	<ul style="list-style-type: none"> • Admissions* • Graduation Rates • 200% Graduation Rates • Outcome Measures • Student Financial Aid 	<ul style="list-style-type: none"> • Fall Enrollment* • Finance • Human Resources* • Academic Libraries

* Indicates where data are reported for the current academic year. Otherwise, data are reported for the prior year.

Where can I get data?

IPEDS data are publicly available and may be used without cost, though a citation is recommended.² They can be accessed via <https://nces.ed.gov/ipeds/use-the-data>.



What if I need help using data?

The IPEDS Data Tools Help Desk provides the following services to those interested in using the data:

- Assistance with accessing and retrieving IPEDS data for research and analysis;
- Answers about specific metrics collected; and
- Guidance for locating and using IPEDS data files.

P: (866) 558-0658 | E: ipedstools@rti.org | Hours: M–F, 8:30am to 5:00pm, EST

¹ To learn more about the information collected under each survey component, refer to the “What data are collected in IPEDS?” section of <https://nces.ed.gov/ipeds/about-ipeds>.

² Suggested citation if one has not been provided: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS), [collection year], [survey component]. Retrieved from [link] on [date].

What are the data review and validation processes?

For each collection period, IPEDS distributes the data in 3 releases, with each release going through a different review and validation process.

Release 1	Release 2	Release 3
<p>Preliminary Data</p>  <p>Upon completion of a reporting period (Fall, Winter, or Spring), the data go through an initial review and validation process.</p> <ul style="list-style-type: none"> • IPEDS staff review data submissions and may follow up with institutions as part of the initial quality control process. • If an institution does not respond to a survey component or an item, the data are left blank (i.e., data are unimputed). • This initial review and validation process—along with the accompanying publication review—takes approximately 6 months. 	<p>Provisional Data</p>  <p>After the Preliminary release, IPEDS staff completes the full quality control procedures.</p> <ul style="list-style-type: none"> • Additional follow-up with institutions may occur. Revisions to the Preliminary data would be minimal. • Missing data due to nonresponse to entire survey components or items are imputed.* • This round of review, validation, and imputation—along with the accompanying publication review—takes approximately 3 months. 	<p>Final (Revised) Data</p>  <p>In the following collection year, institutions are given an opportunity to revise their data if they believe it was inaccurately reported in the prior year.</p> <ul style="list-style-type: none"> • The percentage of institutions that revise data varies by survey component but usually ranges between 1 and 7 percent. • Provisional data are updated with the revisions. • This process takes approximately 12 months after the Provisional release.

* NCEES employs statistical imputation techniques to estimate missing data. Learn more about the imputation process in the Methodology report at <http://nces.ed.gov/pubsearch/getpubcats.asp?sid=010> or the NCEES Handbook at https://nces.ed.gov/statprog/handbook/ipeds_dataquality.asp. Watch the video tutorial http://nces.ed.gov/training/datauser/IPEDS_04.html for guidance on analyses using imputed and unimputed data.

When can I expect the data release?

The following table highlights **approximate** times for data releases. Delays in the schedule are possible due to various layers of review and revision.

Period	Collection closes	Preliminary data*	Provisional data	Final (Revised) data
FALL	November	Early summer	Approximately 9 months after collection closes	Approximately 9 months after institutions have revised their data the following year
WINTER	March	Early fall		
SPRING	April	Mid-fall		
<i>First Look</i> report released?		Yes	Yes	No

* Review of Preliminary *First Look* reports may be surpassed by review of Provisional *First Look* reports. At that point, NCEES will only release the Provisional (skipping Preliminary) data and accompanying *First Look*. Additionally, Preliminary data will only be available prior to the Provisional release. Once Provisional data has been released, Preliminary data will be replaced with the Provisional data.



IPEDS *First Look* Reports

IPEDS *First Look* reports, which accompany Preliminary and Provisional data releases, provide summary tables and citation information for the data. These can be found at <https://nces.ed.gov/pubsearch/getpubcats.asp?sid=010> under “Shorter Publications”.

For example, the Fall 2015 Preliminary data had an accompanying *First Look* report titled *Postsecondary Institutions and Price of Attendance in 2015–16; Degrees and Other Awards Conferred: 2014–15; and 12-Month Enrollment: 2014–15: First Look (Preliminary Data)*.

Item 2: How Much is Too Much? Controlling Administrative Costs through Effective Oversight



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August 31, 2017

Doug Baker
President
Northern Illinois University
Office of the President
Altgeld Hall 300
DeKalb, IL 60115

Dear Dr. Baker:

The American Council of Trustees and Alumni (ACTA) has dedicated itself to helping governing boards and academic leaders develop clear strategies and budgetary priorities to serve their educational missions.

As part of our goal to help academic leaders, I would like to share with you our new guide, *How Much is Too Much? Controlling Administrative Costs through Effective Oversight*. This publication analyzes the ratio of administrative spending to instructional spending for your institution and comparable peer institutions.

How Much is Too Much? provides presidents and chief financial officers with information they need to help address cost issues at their institutions. Using data from the U.S. Department of Education, National Center for Education Statistics Integrated Postsecondary Education Data System (IPEDS), this publication identifies the median ratios of administrative to instructional cost, broken down by institutional category, based on ACTA's analysis of over 1,200 four-year colleges and universities.

Because the data are publicly available and are based on institutions' submissions to the federal government, colleges and universities can use this guide to compare their institution's cost ratio—a measure of the amount an institution spends on administration per dollar spent on instruction—with what is customary for institutions of similar size and scope.

To be sure, a cost ratio that is higher than that of other institutions does not itself indicate a misalignment of budgetary priorities. Many factors may contribute to why one institution's financial profile may differ from those of its peers, including such factors as institutions' accounting practices. The purpose of this guide is to provide a starting point for dialogue between presidents and trustees concerning sound fiscal decisions, and we welcome the opportunity to discuss with you the significance of this metric.

PROMOTING ACADEMIC FREEDOM AND EXCELLENCE

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Doug Baker
August 31, 2017
Page 2

Thank you for your service to higher education. If ACTA can be of benefit to you or your colleagues—by consultation, or through our library of guides and reports—please visit **www.GoACTA.org** or contact our Vice President for Trustee & Legislative Affairs, Armand Alacbay, at **aalacbay@GoACTA.org**.

Warm regards,

A handwritten signature in blue ink that reads "Michael B. Poliakoff". The signature is written in a cursive style with a long, sweeping underline that extends to the left.

Michael B. Poliakoff, Ph.D.
President

Enclosure

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight

a guide for higher education trustees



American Council of Trustees and Alumni | Institute for Effective Governance



ACTA
AMERICAN COUNCIL OF
TRUSTEES AND ALUMNI



The **American Council of Trustees and Alumni** is an independent, nonprofit organization committed to academic freedom, excellence, and accountability at America's colleges and universities. Founded in 1995, ACTA is the only national organization dedicated to working with alumni, donors, trustees, and education leaders across the United States to support liberal arts education, uphold high academic standards, safeguard the free exchange of ideas on campus, and ensure that the next generation receives an intellectually rich, high-quality education at an affordable price. Our network consists of alumni and trustees from nearly 1,300 colleges and universities, including over 22,000 current board members. Our quarterly newsletter, *Inside Academe*, reaches more than 13,000 readers.

ACTA's **Institute for Effective Governance (IEG)**, founded in 2003 by college and university trustees *for trustees*, is devoted to enhancing board effectiveness and helping trustees fulfill their fiduciary responsibilities fully and effectively. IEG offers a range of services tailored to the specific needs of individual boards and focuses on academic quality, academic freedom, and accountability. Through its publications, the Institute for Effective Governance seeks to stimulate discussion of key issues affecting America's colleges and universities.

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight

a guide for higher education trustees

American Council of Trustees and Alumni
Institute for Effective Governance

July 2017

Acknowledgments

This report was prepared by the American Council of Trustees and Alumni (ACTA) staff under the direction of ACTA's Vice President of Trustee & Legislative Affairs Armand Alacbay, primarily by Danielle Barden, program associate for trustee affairs. This report was made possible by the generosity of the Arthur N. Rupe Foundation. ACTA would also like to thank Jerry Malitz for his valuable assistance toward the completion of this project, and without whom this project would not have been possible.

Foreword

The price of college and how colleges use their money have, for good reason, been top public concerns. Exploding prices can stop students right at the gates to our schools, keeping them from even applying to our colleges and universities. Steep tuition bills are one of the most common obstacles in the path of timely graduation. As a former member of the University System of Maryland's Board of Regents, like you, I know the extent of the challenge we face in making our schools as cost-effective as possible.

Every member of a governing board needs to focus on cost control. Yet boards often lack the timely, relevant, and high-quality information we need. Now more than ever, trustees need financial metrics that allow them accurately and clearly to benchmark their institutions against others and determine how they can be leaner while still keeping tuition low and quality high.

To aid trustees with this complex and delicate task, the American Council of Trustees and Alumni (ACTA) developed this guide to encourage discourse between trustees and institutional leadership about their college or university's financial priorities. Using publicly available data that was self-reported to the U.S. Department of Education by over 1,200 Title IV-participating, four-year institutions, this guide enables trustees to ask these questions: *How does our institution's spending on administration—compared to what we spend on our number-one priority, namely, teaching and learning—measure up against similar institutions? Can our school, with existing resources, do more for students?*

American higher education, the most diverse and accessible system in the world, performs an indispensable duty in the formation of future citizens, leaders, thinkers, and entrepreneurs. As our communities—students, parents, and taxpayers—make crucial investments in higher education, we need resources like this one to analyze the context and impact of our spending decisions. ACTA continues to help boards hold their universities accountable to the public trust through this brief guide.

C. Thomas McMillen

former regent, University of Maryland System
and former U.S. Representative, 4th District of Maryland

A recent report by the Institute for Higher Education Policy shows that even with the maximum level of federal financial aid, the net price of college at 70% of universities is unaffordable for working- and middle-class students.

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight



Rising College Costs

The cost of operating an institution of higher education, with very few exceptions, is reflected in the price of attendance that students and their families face, as well as the cost to taxpayers. The purpose of this guide is to help boards of trustees understand the major role that administrative expenditure regularly plays in escalating costs and, ultimately, the price of attendance. We need to understand administrative expense in the context of the key goals of American higher education: access and academic excellence.

The financial pathway to a college degree is often far from clear for too many students. A recent report by the Institute for Higher Education Policy shows that even with the maximum level of federal financial aid, the net price of college at 70% of universities is unaffordable for working- and middle-class students. While some trends suggest that the *rate of increase* in college tuition has slowed in recent years, its growth in nominal dollars continues to outpace inflation, and, as such, the rising cost of college has a real impact on students. Many students incur high levels of student debt to pay for college or seek alternatives to college attendance. Borrowing and default rates grow, competition for tuition dollars increases, and the financial model underpinning higher education's effectiveness is imperiled.¹

Trustees are essential actors in managing and controlling costs in this tumultuous environment. In a GfK survey commissioned by ACTA in

2014, 91% of respondents believed that *trustees* need to act to make college more affordable and improve the quality of higher education. It can be said without exaggeration that the crisis in college costs and affordability is undermining the democratic promise of higher education. The public looks to trustees to ask the tough questions and seek solutions.²

Not only is the relationship between administrative and instructional spending central to institutional efficiency and reflective of institutional priorities, but it also raises issues of appearance, public image, and institutional morale. A 2010 study of higher education costs at 198 leading public and private colleges and universities found a 39% increase between 1993 and 2007 in instructional spending per student, but a *61% increase in administrative spending per student*. Furthermore, a 2014 report documents the impact on the balance of institutional resources. The study found that the ratio of faculty and staff positions per administrator had declined

The crisis in college costs and affordability is undermining the democratic promise of higher education. The public looks to trustees to ask the tough questions and seek solutions.

at public research universities from 3.5 in 1990 to 2.7 in 2000, and all the way down to 2.2 in 2012. Part of this can be explained by rising compliance costs; the Task Force on Federal Regulation of Higher Education reported that “the number of federal requirements placed on colleges and universities grew by 56 percent between 1997 and 2012.” But higher education analysts often wonder: What is the investment in administrative staff and functions achieving? Is that investment helping to provide the best possible education at the lowest possible cost?³

Although faculty salaries have remained relatively static, administrative salaries have not. A 2017 survey found that the average salary for full professors was \$102,402, compared to an average salary of \$334,617 for

college and university presidents and \$202,048 for chief financial officers. Institutions risk signaling misplaced priorities, which can have adverse effects on their ability to grow in areas pertinent to their academic missions, such as attracting and retaining prominent faculty.⁴



Get the Data, Understand the Content

An essential step in higher education governance is to establish a baseline, to understand how the college or university's resource allocation compares to those of similar, or peer, institutions. An institution does best when the governing board acquaints itself with federal data collection practices and understands the limitations of the conclusions that can be drawn from such data, but also recognizes its value towards benchmarking against similarly-situated institutions, or other comparison groups (e.g., "aspirational" peers).

That can be a challenging task, but it is well within reach. Institutional accounting reflects a complex blend of revenue sources from public and private funding, tuition, and philanthropic dollars, as well as a wide range of expenditures required for the university to accomplish its mission. The financial data that institutions report to the U.S. Department of Education's National Center for Education Statistics (NCES), through its Integrated Postsecondary Education Data System (IPEDS), facilitate important comparisons that trustees can use as starting points for dialogue with their presidents and administrators concerning fiscal choices.

Institutions that receive federal financial aid funding report their financial data annually to NCES, which makes publicly available the amounts each institution reports per "functional classification"—in other words, levels of expenditures on instruction, research, public service, and the like. Developed by NCES and the National Association of College and University Business Officers (NACUBO), these expense classifications are generally consistent year-to-year and apply to institutions uniformly. As

such, while institutions may vary somewhat in their classification of specific expenditures (for example, finance officers may have different formulas for allocating the costs of a mixed-use building), the aggregate nature of the data collection provides a useful base for institutional comparison.⁵



Instructional and Administrative Costs: The Right Balance

In order for institutions of higher education to fulfill their research and teaching missions, leaders must make complex choices about how to allocate scarce financial resources to address diverse needs. As instruction is so central to the educational mission of every institution, trustees should naturally want to keep a close eye on how well it is supported. To make this guide as useful as possible to trustees of institutions with widely varying missions, it uses a very limited definition of “administrative cost” (see pg. 5), excluding other expense areas (e.g., auxiliary expenses, such as residence halls) that boards may also wish to monitor. To be sure, allocation of funding to other sources also merits oversight; a report from the Delta Cost Project found that staff wages and salaries (per-FTE staff) for *student services* was the fastest growing salary expense at many institutions from 2002–2010.⁶

Defining the Terms

In order to focus comprehensively on what is allocated to instruction, this guide uses an expansive definition of “instructional cost,” incorporating not only what institutions report to NCES as expenses for instruction, but also for academic support, which covers expenditures for “academic administration (including academic deans but not department chairpersons),” “libraries, museums, and galleries,” and anything else related to supporting the institution’s primary mission. Instructional costs, as applied in this guide, also include some functions that may be considered

administrative in nature, but which still have direct bearing on the institution's academic enterprise.⁷

For “administrative cost,” this guide includes only what institutions report as institutional support, defined by NCES as “the day-to-day operational support of the institution. Includ[ing] expenses for general administrative services, executive direction and planning, legal and fiscal operations, and public relations/development.”⁸

In doing so, it does not include items such as student activities, career services, or financial aid staff (all of which institutions are instructed to report as student services), or parking facilities, housing, or food services (reported as auxiliary enterprises). Expenses for operating a hospital are reported as a separate category and are not included in the institutional support category, with a few exceptions.

Understanding the Ratio

The ratio of an institution's spending on administration relative to instruction is an important indicator of a university's budget priorities. When combined with other measures, this analysis can also serve as a warning that the institution's administrative operations risk growing disproportionately in relation to its core academic functions, placing upward pressure on the cost of tuition and required fees.

This guide illustrates how trustees can use the **administrative/instructional cost ratio** as the baseline for interrogating and understanding how their institution compares to peer colleges and universities. Using publicly available data from the U.S. Department of Education's IPEDS survey, ACTA carefully reviewed trends in administrative spending and instructional spending at over 1,200 four-year public and private, not-for-profit colleges and universities in the United States.⁹

The tables on the following pages indicate the median administrative/instructional cost ratio among institutions grouped by sector (i.e., public/private), Carnegie classification, and undergraduate full-time enrollment

size. **The higher a school's ratio, the greater the proportion of the institution's spending on administration relative to its spending on instruction** (i.e., a ratio of 0.53 means that an institution spends 53 cents on administration for every dollar it spends on instruction, based on the formula used for this study).¹⁰

In using this guide, it is important to observe that many factors contribute to the variation in expenditure ratios across institution types. For example, a large state flagship university may experience economies of scale in its administrative functions that do not necessarily occur with instructional functions. Moreover, the functional expense classification of institutional support (i.e., administrative cost) also includes an institution's costs for operating its development office, which may be higher at institutions that rely more on private philanthropy. As such, it is beyond the scope of this guide to attempt to compare sectors in any broader way. The categories on the following tables are intended to provide trustees with one possible framework for identifying institutions with comparable cost structures.

ADMINISTRATIVE COSTS DASHBOARD: Compare Your School to the National Median

Four-Year **Public** Undergraduate Institutions
Median Administrative/Instructional Cost Ratio, FY 2015

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	0.39	0.33	0.27
Master's Colleges & Universities: Small Programs	0.34	0.34	0.29
Master's Colleges & Universities: Medium Programs	0.28	0.24	0.22
Master's Colleges & Universities: Larger Programs	0.24	0.23	0.21
Doctoral Universities: Moderate Research Activity	0.24	0.21	0.20
Doctoral Universities: Higher Research Activity	0.23	0.19	0.20
Doctoral Universities: Highest Research Activity	0.19	0.16	0.17

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Note: Institutions included are Title IV-participating, primarily baccalaureate degree-granting or above. Enrollment is based on estimated FTE undergraduate enrollment. Small/medium/large designations are determined by a tertile (equal 1/3) distribution of institutions, ordered by enrollment, within the Carnegie classification indicated. For more information, see Appendix.

ADMINISTRATIVE COSTS DASHBOARD: (cont'd)
 Compare Your School to the National Median

Four-Year **Private, Not-for-Profit** Undergraduate Institutions
 Median Administrative/Instructional Cost Ratio, FY 2015

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	0.64	0.45	0.40
Master's Colleges & Universities: Small Programs	0.63	0.53	0.41
Master's Colleges & Universities: Medium Programs	0.50	0.46	0.46
Master's Colleges & Universities: Larger Programs	0.41	0.41	0.39
Doctoral Universities: Moderate Research Activity	0.40	0.39	0.33
Doctoral Universities: Higher Research Activity	0.28	0.32	0.24
Doctoral Universities: Highest Research Activity	0.27	0.21	0.27

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Note: Institutions included are Title IV-participating, primarily baccalaureate degree-granting or above. Enrollment is based on estimated FTE undergraduate enrollment. Small/medium/large designations are determined by a tertile (equal 1/3) distribution of institutions, ordered by enrollment, within the Carnegie classification indicated. For more information, see Appendix.



Conclusion: An Action Plan for Controlling Administrative Costs

Trustees have a unique vantage point—and responsibility—to investigate costs and compare them against similar or peer institutions. By doing this, colleges and university trustees can invest and allocate scarce resources responsibly in a highly competitive education landscape.

1. **Be knowledgeable about administrative spending.** Trustees should ask their chief financial officer to report to the board the institution's administrative/instructional cost ratio for the most recent fiscal year. Institutions provide NCES with their IPEDS finance survey responses on a regular annual schedule (typically December–April), so the data should be readily available. If the institution's ratio is higher than the median ratio for schools of its Carnegie classification and of similar undergraduate enrollments, the board should ask why that is the case. They should also consider asking what the IPEDS-reported cost ratios are for peer institutions.

Following correspondence with ACTA concerning the significantly higher rate of growth in administrative cost compared to instructional cost, the University of Wyoming's president and board of trustees commissioned a study of their spending patterns. Wyoming's administration and board leadership have taken promising new steps to increase financial transparency and reduce administrative overhead where possible.¹¹

Bear in mind that not all administrative costs are problematic. Trustees should also insist on student outcomes data—for their institution and others—alongside their financial metrics. If higher costs in particular areas correlate with better outcomes, they may

be considered investments in line with the school's mission. If they do not, trustees should reconsider their institution's budgetary priorities.

2. **Create a financial dashboard—and use it.** Establish a standard dashboard of cost-effectiveness indicators to evaluate each time your board is asked to sign off on major expenditures. For example, trustees can request to know their campus's hourly classroom utilization rate (differentiated by time of day and day of the week) before approving capital projects. They should know the percentage distribution of graduates from existing degree programs before green-lighting a new program. The institution's administrative/instructional cost ratio is one of many powerful metrics that boards can use to democratize insight into the university's financial performance.
3. **Ensure data quality and consistency.** Ensure that the institution's financial reporting practices treat expenses consistently from year to year. Transparent and consistent financial reporting is crucial to ensuring the long-term health of a university, because a board's ability to provide effective oversight depends on having access to data that are comparable over multiple reporting periods. Consider setting an agenda item for the board's finance committee to review the institution's IPEDS finance survey responses, and definitions used to gather data to report those responses, over recent years, and to determine ways to ensure consistent reporting standards going forward. Moreover, boards should closely monitor how their institution categorizes specific expenses into functional categories (e.g., ensure that the institution does not report administrative expenses as academic support services).
4. **Consolidate and streamline.** Boards should start looking at ways to consolidate administrative functions. Examples such as the Minnesota State Colleges and Universities' Campus Service

Cooperative and the University System of Maryland's Effectiveness and Efficiency Initiative can provide useful blueprints for innovative initiatives. ACTA's publications, *Bold Leadership, Real Reform* and *Bold Leadership, Real Reform 2.0*, as well as *Cutting Costs*, can provide other ideas for governing boards. Concurrently, trustees should engage institutional leaders in periodic discussions of administrative expenditures and how they may be better contained in a responsible fashion. Institutions should have concrete guidelines to justify expansion of administrative expenditures to ensure intentionality and sober cost-benefit analysis.

Appendix

The tables that follow describe the range of institutional sizes represented by the “small,” “medium,” and “large” enrollment designations used on pages 7–8 of this guide. Indicated ranges were selected to ensure equal distribution of institutions within each Carnegie classification segment. Gaps between enrollment ranges indicate that no institution within the sector and Carnegie classification for that row reported enrollment of that particular size (e.g., no four-year public institution of Carnegie classification “Baccalaureate Colleges—Arts & Sciences” reported enrollment between 1,070 and 1,423 or between 2,219 and 3,295).

INSTITUTIONAL ENROLLMENT SIZES

Undergraduate FTE Enrollment, 2014-15 Four Year **Public** Institutions

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	538–1,070	1,423–2,219	3,295–4,156
Master's Colleges & Universities: Small Programs	1,512–2,078	2,098–4,031	4,104–25,509
Master's Colleges & Universities: Medium Programs	1,082–3,196	3,309–4,847	4,901–16,111
Master's Colleges & Universities: Larger Programs	1,325–5,962	5,975–9,142	9,147–28,397
Doctoral Universities: Moderate Research Activity	1,750–7,997	8,217–12,047	14,268–27,691
Doctoral Universities: Higher Research Activity	4,694–9,590	9,765–14,106	14,543–29,433
Doctoral Universities: Highest Research Activity	828–19,799	20,138–26,148	26,580–45,796

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

INSTITUTIONAL ENROLLMENT SIZES (cont'd)

Undergraduate FTE Enrollment, 2014-15
 Four Year **Private, Not-for-Profit** Institutions

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	80–1,165	1,177–1,878	1,884–3,855
Master's Colleges & Universities: Small Programs	205–1,024	1,033–1,621	1,624–4,750
Master's Colleges & Universities: Medium Programs	28–1,382	1,402–2,151	2,152–8,236
Master's Colleges & Universities: Larger Programs	314–1,978	1,987–3,194	3,202–39,720
Doctoral Universities: Moderate Research Activity	144–2,444	2,536–4,755	5,286–41,716
Doctoral Universities: Higher Research Activity	2,627–4,287	4,656–7,428	8,334–28,054
Doctoral Universities: Highest Research Activity	962–6,809	6,999–8,751	9,221–27,004

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Notes

1. Kim Clark, “A New Report Shows Just How Unaffordable Colleges Are For Most Americans,” *MONEY*, March 24, 2017, <http://time.com/money/4712609/colleges-unaffordable/>; and Jennifer Ma et al., *Trends in College Pricing 2016* in *Trends in Higher Education* series (New York, NY: College Board, 2016), 15, https://trends.collegeboard.org/sites/default/files/2016-trends-college-pricing-web_0.pdf.
2. “College Governance Survey,” *GfK Custom Research North America for American Council of Trustees and Alumni*, June 2014, https://www.goacta.org/images/download/College_Governance_Survey.pdf.
3. Jay Greene, Brian Kisida, and Jonathan Mills, “Administrative Bloat at American Universities: The Real Reason for High Costs in Higher Education,” *Goldwater Institute Policy Report* no. 239 (2010): 9, 18, https://goldwater-media.s3.amazonaws.com/cms_page_media/2015/3/24/Administrative%20Bloat.pdf; and Scott Carlson, “Administrator Hiring Drove 28% Boom in Higher-Ed Work Force, Report Says,” *Chronicle of Higher Education*, February 5, 2014, <http://chronicle.com/article/Administrator-Hiring-Drove-28-/144519/>; Donna M. Desrochers and Rita Kirshstein, “Labor Intensive or Labor Expensive? Changing Staffing and Compensation Patterns in Higher Education,” *Delta Cost Project*, February 2014, http://www.deltacostproject.org/sites/default/files/products/DeltaCostAIR_Staffing_Brief_2_3_14.pdf; and *Recalibrating Regulation of Colleges and Universities* (Washington, DC: Task Force on Federal Regulation of Higher Education, February 2015), 7, <http://www.acenet.edu/news-room/Documents/Higher-Education-Regulations-Task-Force-Report.pdf>.
4. Colleen Flaherty, “The More Things Change,” *Inside Higher Ed*, April 11, 2017, <https://www.insidehighered.com/news/2017/04/11/aaup-faculty-salaries-slightly-budgets-are-balanced-backs-adjuncts-and-out-state>; and “Visualizing Change: The Annual Report on the Economic Status of the Profession, 2016–17,” *Academe*, March–April 2017, https://www.aaup.org/file/FCS_2016-17_nc.pdf.
5. See, for example, “Part C-1 - Expenses and Other Deductions: Functional Classification,” *National Center for Education Statistics*, n.d., https://surveys.nces.ed.gov/ipeds/VisInstructions.aspx?survey=5&cid=30068&show=part#chunk_1258; “IPEDS Finance Data FASB and GASB – What’s the Difference? A Guide for Data Users,” *National Center for Education Statistics*, n.d., https://nces.ed.gov/ipeds/Section/fct_ipeds_finance_1; and “Public Institutions: Methodologies for Allocating Depreciation, Operation and Maintenance of Plant, and Interest Expenses to Functional Expense Categories,” *National Association of College and University Business Officers*, January 2010, http://www.nacubo.org/Documents/BusinessPolicyAreas/AR_2010_1.pdf. NCES does issue guidance in response to frequently asked questions, including those addressing any recent changes in reporting requirements. See more, “How should my institution report the allocation of depreciation, operation and maintenance of plant (O&M), and interest expenses to the other functional expense categories in Part C:” *National*

Center for Education Statistics, n.d., <https://surveys.nces.ed.gov/ipeds/VisFaqView.aspx?mode=reg&id=7&show=all#404>.

6. Desrochers and Kirshstein, “Labor Intensive or Labor Expensive?”
7. The NCES definition of instruction includes “expenses of the colleges, schools, departments, and other instructional divisions of the institution,” as well as “expenses for departmental research and public service that are not separately budgeted.” NCES classifies as academic support “expenses for the support services that are an integral part of the institution’s primary missions of instruction, research, and public service” and includes “expenses for museums, libraries, galleries, audio/visual services, ancillary support, academic administration, personnel development, and course and curriculum development,” as well as expenses for “academic administration where the primary function is administration (e.g., academic deans).” 2016–17 Survey Materials: Glossary,” *National Center for Education Statistics*, 2016, <https://surveys.nces.ed.gov/ipeds/Downloads/Forms/IPEDSGlossary.pdf>; “Archived Survey Materials,” *National Center for Education Statistics*, 2015, <https://nces.ed.gov/ipeds/InsidePages/ArchivedSurveyMaterials>; and “2016–17 Survey Materials: Instructions,” *National Center for Education Statistics*, 2016, <https://surveys.nces.ed.gov/ipeds/VisInstructions.aspx?survey=5&id=30085&show=all>.
8. “2016–17 Survey Materials: Instructions.” To account for differences in accounting practices between public and private institutions, as well as for changes over time in how IPEDS accounted for such differences, this report excludes from instructional and administrative cost any costs reported as the subcategories of operation and maintenance of plant, depreciation, and interest, allocated in IPEDS to the categories of instruction, academic support, or institutional support.
9. Although a substantial percentage of students in the American higher education system are enrolled in two-year colleges, their unique governance, administration, and finance structures merit their own dedicated study.
10. For the purposes of this guide, the administrative/instructional cost ratio is defined as $(\text{administrative cost})/(\text{instructional cost})$, where *administrative cost* = expenses reported in IPEDS as “institutional support,” less the institutional support subcategories of operation and maintenance of plant, depreciation, and interest, and *instructional cost* = expenses reported in IPEDS as “instruction,” less the instruction subcategories of operations and maintenance of plant, depreciation, and interest, added to expenses reported in IPEDS as “academic support,” less the academic support categories of operation and maintenance of plant, depreciation, and interest. Based on the broad definition of instructional cost and narrow definition of administrative cost used in this guide, the ratios reported likely underestimate the amount institutions spend on administration.
11. Joel Funk, “UW administrative spending higher than peers,” *Laramie Boomerang*, November 27, 2016, http://www.laramieboomerang.com/news/local_news/uw-administrative-spending-higher-than-peers/article_1030bda4-b46b-11e6-a351-272ef5ba9c9a.html.



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Item 3: Student Engagement and Student Satisfaction Assessment Plan

Student Engagement and Student Satisfaction

Assessment Plan



Northern Illinois University
Your Future. Our Focus.



The Charge

During the fall of 2017, following the Board of Trustees confirmation of Dr. Lisa Freeman's presidential goals, Executive Vice President and Provost, Dr. Chris McCord, appointed a small committee to draft a strategic evaluation and assessment plan for student engagement and student satisfaction at Northern Illinois University. Dr. McCord, in consultation with Dr. Kelly Wesener Micheal, identified Associate Vice Provost for Engaged Learning, Dr. Renique Kersh, as the chair for this committee. The members of the committee included Evelyn Comber, Anthony Guzzaldo, Amy Franklin, Ritu Subramony, Aiyana Hamilton and ex officio member, Alecia Santuzzi.

The committee charge was as follows:

To move Northern Illinois University forward on the development and implementation of a strategic assessment plan on student engagement and student satisfaction.

Phase 1: Focused on reviewing relevant literature and resources on assessing student engagement and student satisfaction and developing a survey for SET Directors to gather information about how they are collecting information on student engagement and student satisfaction. The committee also reviewed a number of larger scale campus-wide surveys being used to measure or with components that measure student engagement and satisfaction. The surveys reviewed included the **National Survey of Student Engagement (NSSE)**, the **Faculty Survey of Student Engagement (FSSE)**, the **Sexual Harassment, Assault and Relationship Experiences Survey (SHARE)**, **NIRSA (campus recreation)**, the **National College Health Association Survey (NCHA)** and the **NIU graduating seniors survey (note that the climate survey was not included because the new survey has not been developed yet, but outcomes will be included in the final plan for assessment)**. Finally, the committee sought to better understand the redundancies and coordination inefficiencies that exist with these larger scale instruments. The outcome of **Phase 1**, which were finalized on March 2, 2018, includes an assessment and evaluation matrix, a survey administration map and a set of goals and objectives linked to the presidential goals.

Phase 2: Includes the design of a study on the impact of student's engagement in high impact practices on student success. Dr. Alecia Santuzzi has been asked to provide leadership on the design and coordination of this study.

Once **Phase 2** has been completed, the committee will revisit draft plan developed in **Phase 1** to make any necessary updates (see the timeline on slide 11). **The final outcome will include targets for engagement and a measurement baseline along with additional recommendations for sustainability and follow up.**

Our Intention

To develop an annual assessment of student engagement and student satisfaction using key indicators (***Phase 1***)

To establish a bi-annual study on the role of high impact practices in student engagement and success (***Phase 2***)

To coordinate the administration of campus-level surveys in order to improve the student-response rate and to reduce over-surveying of students and ensure widespread sharing of survey outcomes

Objectives

Presidential Goals

Provide NIU students with an excellent undergraduate experience.	1.1, 1.2, 1.3, 6.1, 6.2
Provide NIU undergraduates with high quality, accessible and developmentally appropriate experiential learning opportunities.	1.2, 1.3, 6.1, 6.2
Create, support and sustain an inclusive campus community including encouraging an inclusive learning and living environment.	1.1, 1.2, 1.3, 6.1, 6.2
Support academic excellence and achievement of undergraduates by providing high quality support services, rigorous academic experiences and a variety of opportunities for involvement in the campus community.	1.2, 1.3, 6.1, 6.2
Utilize institutional resources to track undergraduate student engagement in high impact practices.	6.2

Indicator

Data Points

Retention and Completion	<ul style="list-style-type: none">• FR to SO year retention rates (overall and by demographic group, e.g., race, gender, age, residential/commuter)• 4, 5, and 6 year graduation rates (overall and by demographic group, e.g., race, gender, age, residential/commuter)
Academic Achievement	<ul style="list-style-type: none">• GPA at the end of 1st year• GPA at completion
Satisfaction with the NIU experience	<ul style="list-style-type: none">• Quality of interactions with faculty and students in the classroom• Quality of interaction with student services staff• Overall satisfaction with NIU Services• Overall satisfaction with academic experience• Would choose NIU again• Safety of the institution• Sense of belonging
Engagement in HIPS	<ul style="list-style-type: none">• Participation in study abroad, undergraduate research, artistry, learning communities, internships and service-learning
Engagement in the Campus Community	<ul style="list-style-type: none">• Participation as an active member or officer in a student organization
High Impact Learning	<ul style="list-style-type: none">• Number of courses with service-learning, research or collaborative projects• Effective teaching practices
Faculty/Student Interaction and Faculty Commitment to High Impact Learning	<ul style="list-style-type: none">• Percent of time spent in class using engaged learning strategies• Faculty perception of importance of student engagement in HIPS• Student perception of faculty interactions
Career Impact	<ul style="list-style-type: none">• Employment in a position the recent graduate perceives as related to their academic major), Graduate School Acceptance, or on-track for career-based KPI (e.g., SAG)

Data Collection

- Student Surveys (National College Health Association Survey, *NIU Climate Survey, *NIU Alumni Survey, **National Survey of Student Engagement)
- Qualitative Data (Focus Groups with Current Students, Alumni and Employers, Content Analysis of Linked In and Professional Profiles)
- Faculty Survey (Faculty Survey of Student Engagement)
- Institutional Data (Student Involvement Data from Huskie Link, Student Data from MyNIU, Career Services Data)

*new survey is being developed

**primary assessment instrument for student engagement and satisfaction

Campus Survey Administration Grid

	J	F	M	A	M	J	J	A	S	O	N	D	
NSSE		■											
FSSE				■									
NCHA		■											
NIRSA			■										
SHARE			■										
Climate			■										
NIU Alumni Survey			■										



Administered in the same year



Administered in the same year

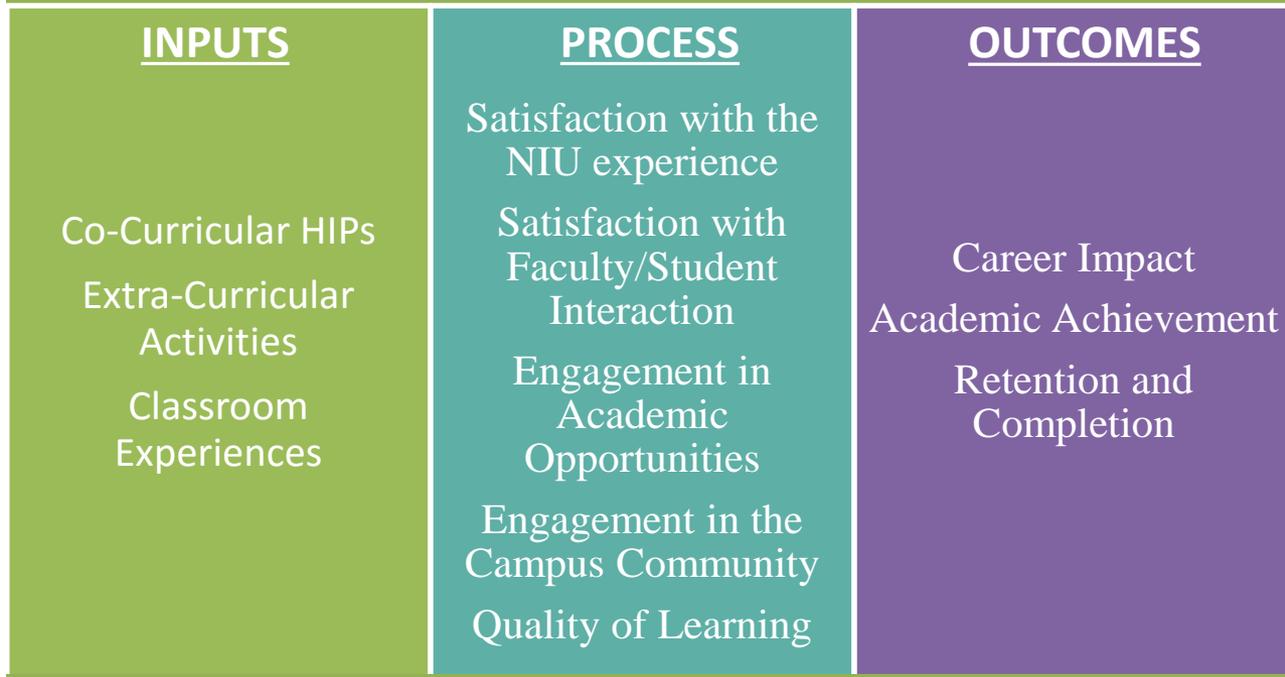
Note: This map shows the timing for campus-wide survey administrations. The response to this map will include establishing a timeline that ensures that survey administrations do not overlap and that where possible, different samples are chosen so as to reduce survey-fatigue. This is particularly true for NSSE, NCHA, NIRSA, SHARE and Climate surveys.



Phase 2: SESS Study Objectives

- To understand the role of high impact practices in student satisfaction and success
- To understand what high impact practices at NIU are most often associated with student satisfaction and success

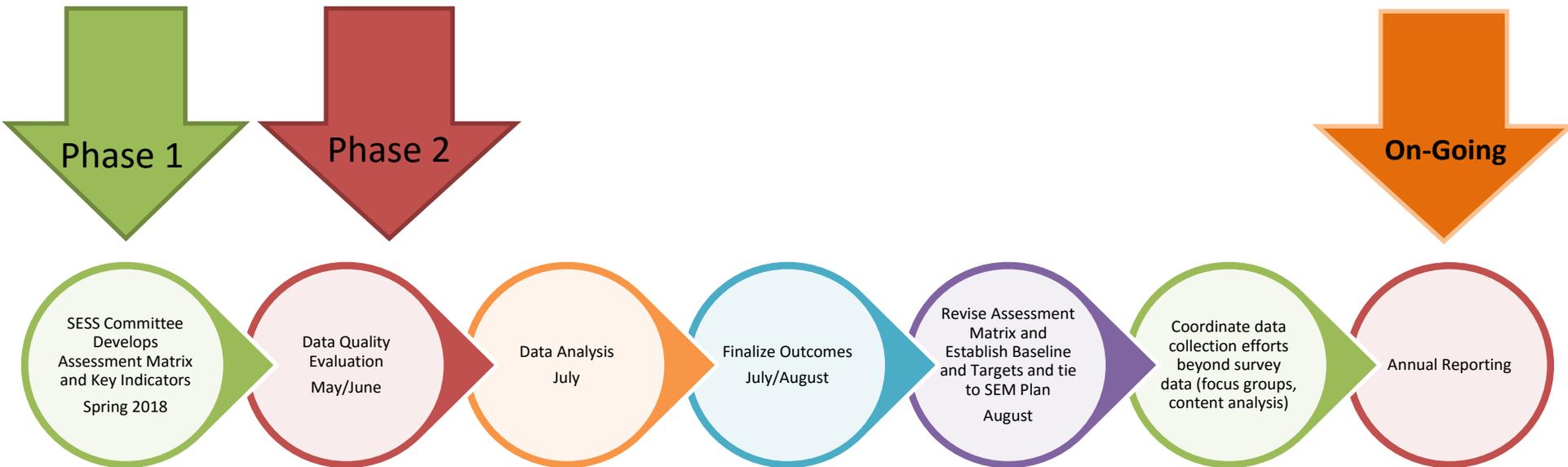
SESS Logic Model



Data Quality Evaluation

- Structure of data
 - Representation of NIU student demographics
 - Response rates, missing data analyses
- Identify deficiencies in assessments
 - Variables in model not measured
 - Psychometrically weak assessments
- What questions can be answered with current assessments?
- What questions require revised or additional assessments?

SESS Timeline



Other Opportunities

- Continuous Improvement
- Resource Alignment
- Alignment with SEM Priorities
- Efficient Use of Data (Beyond Anecdotes)
- Engagement of Alumni and Employers
- One Campus, One Story
- Visual Display of Data