

HLC Assurance Argument

University of Cincinnati - 2018

Criterion 5

Resources, Planning, and Institutional Effectiveness

5 - Resources, Planning, and Institutional Effectiveness

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

5.A. - Core Component

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

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

Argument

5.A.1.

Prompt: The institution has the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered.

Response:

Fiscal Resources

During the past ten years, the operating position of the university has dramatically improved, from a loss of \$45m in FY 2008, to a gain of \$5.4m

(which included \$57m in extraordinary expense related to Governmental Accounting Standards Board 68 implementation) in FY 2017. There are many factors associated with this improved performance, with the primary drivers being: (a) increased enrollment; (b) operating efficiencies; and (c) endowment investments.

Enrollment

Since 2008 the University has grown from 37,072 to 44,783 in the fall of 2017. UC has taken a very diversified approach to growing enrollment, inclusive of growing the first-year baccalaureate class from 3,144 to 5,400; growing graduate and professional program enrollment from 8,703 to 10,596; growing distance learning students from 1,460 to 5,508 and increasing the number of international students from 1,867 to 3,447. Improvements in aggregate retention have also contributed to UC's growth. During this same time period, funding from the state of Ohio has moved from a headcount to a completion model, thus our institutional increases in retention and graduation numbers have enhanced UC's share of state subsidy.

Operating Efficiencies

The university, independently and in conjunction with our Inter University Council (IUC), has taken focus efforts to become more efficient in the way we operate. As of the Fiscal Year 2017 report filed with the Ohio Department of Higher Education, the University has reported ~ \$9.0m in cost savings, cost avoidance, and/or revenue enhancements. These improvements encompass many areas of the operation, including, not limited to: renegotiation of campus contracts, accessing group purchasing agreements, affinity partnerships and sponsorships, and implementing a new method for managing the debt portfolio.

In addition, the university engaged Huron Consulting to perform an in-depth and exhaustive review of the aggregate operation to identify additional areas for potential implementation. The primary areas for implementation are related to: shared services, electronic procurement, unit consolidation, and information technology governance. The university is a good steward of our financial resources, and currently is planning for additional activities and changes in the upcoming years.

Further, the university engaged Jones, Lang, LaSalle to assist in the unbiased evaluation of assets and operating units that may be best suited for Public/Private Partnership. This in-depth review was focused on current operating performance against industry benchmarks in categories such as service, quality, and finance. The evaluation then evolved to whether it would be in the best interests of the university to continue to own and operate specific units internally, outsource the operation, or monetize the asset/operation in its entirety. This is a large undertaking, and we are currently working on our first undertaking.

Endowment Management

The university's endowment totaled \$1.3 billion at June 30, 2017, an increase of ~ \$100m when compared to June 30, 2008. The endowment is comprised of approximately 2,000 individual endowment funds, each of which was established by a gift from a private donor to support a specific scholarship, professorship, or another component of the university's mission.

Driven by the total endowment, strength of the overall markets, and skills of our investment office and managers, investment earnings have increased by approximately \$40m (\$56m in FY 2008; \$95m in FY 2017).

The culmination of these activities is reflected in our financial statements, but a correlated outcome is the annual ratings received by Moody's and Standard & Poor's. During 2017, Standard & Poor's reaffirmed its previously assigned AA- long-term rating with a stable outlook. Moody's also reaffirmed its previously assigned Aa3 rating with a stable outlook. The ratings were assigned after extensive reviews of the university's financial activities, strategic plans, and future prospects.

Both rating agencies have highlighted our excellent governance structure, the effectiveness of the financial controls and budgeting process as contributors to effective decision-making and operational effectiveness as positive attributes supporting their published ratings. These components will be essential as we navigate the waters of higher education affordability alongside challenging state budgets.

Former U.S. House of Representatives member Ron Lewis once said,

“Ensuring quality higher education is one of the most important things we can do for our future generations.” It is in that spirit that we build upon our past successes and move onward together, striving always to make tomorrow better than today.

Budgeting, resource allocation, and monitoring

The university’s main campus annual general funds budget is ~ \$680m, of which ~ \$460m is invested in the academic mission through the Provost’s office (including the College of Medicine). This represents an increase of ~ \$275m over the last 10 years, a 67% increase.

The two primary components of the general funds budget are: (a) Tuition and Fees; and (b) State Share of Instruction.

Tuition and Fees

Over the past ten (10) years, tuition and fees have increased ~ \$163m, growing from \$296m in FY 2008 to a projected amount in FY 2018 of \$459m. These increases in resources are tied directly to enrollment, which has grown from ~ 35,000 in FY 2008 to ~ 45,000 in FY 2018.

State Share of Instruction

State Share of Instruction (SSI) is the State of Ohio’s primary mechanism for subsidizing the instructional costs at Ohio’s public institutions of higher education with the sole purpose of helping reduce the cost of tuition for Ohio residents.

Public institutions are placed into peer groups by institutional type (i.e. 4-year, 2-year, etc.) and receive allocations via a performance-based funding model. Approximately eighty (80) percent of the allocation is based on course completion and awarding of degrees. The model also includes weighting for service to at-risk students and doctoral set-aside variables.

During the current governor’s tenure and as part of the State of Ohio budgets, the legislature has frozen or limited tuition increases. To help offset the burden this places at the public institutions, the SSI pool has also been increased.

UC's Uptown campus operates on a general funds recurring budget of approximately \$665 million, and has internally designated funds totaling \$152 million. Since the 2009 Self- Study, UC's general fund operating budget has grown from \$498 million to \$665 million, a 33.5% change, and internally designated funds have grown from a deficit of \$34 million to a positive balance of \$152 million, a significant positive change. During the same period, tuition and fees represented an increasing percentage of the budget, from 70.3% in FY 2009 to 77.9% in FY 2017, as state support declined from 40.7% in FY 2009 to 31.6% in FY 2017.

In addition to the recurring budget, the general funds include \$86.8 million in funding that represents unspent prior year funds. Other retained earnings are transferred to a reserve fund that currently has a balance of \$17 million. Endowment funds available for spending, gifts, and contributions from affiliates are also available for operations and scholarships and are currently budgeted at \$110 million.

Human Resources: Faculty

The University of Cincinnati faculty are at the heart of our academic mission, and hiring and supporting our faculty in both their research and their teaching is vital to our institutional success.

Starting salaries are established by HR Compensation in conjunction with the business offices of the individual colleges. For AAUP-represented faculty, minimum salaries are established by Article 12 of the collective bargaining agreement. The collective bargaining agreement also covers various additional compensation for AAUP-represented faculty, including raises, overloads, summer and secondary semester teaching, and stipends.

Starting with the 2007-2010 collective bargaining agreement and continuing through the 2016-2019 version, the University has established a Regional Campus Salaries Committee charged with studying salaries at its Clermont and Blue Ash campuses, monitoring ongoing progress, and making recommendations for continued, additional or alternative remedies over time to address compensation disparities at those campuses in comparison to Ohio's other regional campuses and to UC's main campus salaries. As a result of these studies, AAUP-represented faculty at our

regional campuses have received additional across-the-board salary increases over and above those negotiated for main campus faculty each year since 2010.

The University of Cincinnati maintains a relatively low (17:1) faculty-to-student ratio, and the Associate Provost for Faculty Development and Strategic Initiatives coordinates a rich portfolio of faculty development activities throughout the year, beginning with a new faculty orientation program.

New Faculty Orientation

Recruiting and retaining highly qualified faculty is a top priority at the University of Cincinnati. As such, the university has invested an abundance of resources into programming and initiatives that promote faculty success. One such program is the New Faculty Orientation (NFO), which has two primary goals: to welcome new faculty to the University of Cincinnati community and orient new faculty to UC. By providing new faculty with practical information that will help them start their academic career successfully and by connecting them with vital campus resources, the university strives influence faculty retention positively. All new hires, both full-time and part-time, are invited to attend the NFO. Scheduled over two full days each August, the NFO focuses on building an academic community, networking, skill development, and onboarding. Faculty have the opportunity to hear encouraging, welcoming words from administrators on campus such as the President, the Provost, the Senior Vice Provost for Academic Affairs, the Vice President for Research, and the Chair of the Faculty Senate. Key representatives from offices such as the Center for the Enhancement of Teaching and Learning, the Office of the Provost, the Office of the Vice President for Research, and Human Resources conduct presentations, workshops and panel discussions on a variety of topics ranging from best-practices in teaching, obtaining extramural funding, selecting benefits, mentoring, and more. Faculty are given the opportunity to anonymously provide feedback about the NFO that administrators in the Office of the Provost use to continuously refine the program and to gather ideas for faculty development topics throughout the year.

Faculty Development

The University of Cincinnati values faculty success. As such, the Office of the Provost developed a model for professional development that articulates our approach. The office espouses a longitudinal approach to professional development that caters programming to individuals' unique career position. From graduate students to faculty-administrators, the office collaborates with a variety of internal and external offices to offer professional development opportunities designed to impart the knowledge and skills individuals need to flourish in their careers. Funding for faculty development, as stipulated in the Collective Bargaining Agreement, is provided centrally through the Office of the Provost as well as at the college level to support the acquisition of knowledge and skill development through the completion of workshops, trainings, and seminars and travel to professional conferences.

Centrally, the Associate Provost for Faculty Development and Special Initiatives provides direct support for faculty both individually and in groups on behalf of the Office of the Provost. The associate provost coordinates workshops and trainings for faculty on a variety of subjects such as preparing a successful dossier, finding a mentor, and goal setting, which are conducted by experts internal and external to UC. The Office of the Provost also supports faculty who desire to complete faculty development programming through external vendors such as the National Center for Faculty Development and Diversity. For instance, the University has 27 alumni who have completed the prestigious Faculty Success Program through the National Center for Faculty Development and Diversity and several others who have completed the Faculty Success Program for Alumni and the Post-Tenure Boot Camp.

Second, per Article 24.3.2 of the Collective Bargaining Agreement, funding is provided to faculty annually to support collaborative and interdisciplinary professional development projects. This past year, the Office of the Provost funded five teams who devised a variety of professional development projects ranging from enhancing online teaching skills, to starting a mentoring program, to delivering a diversity symposium.

Other offices and centers throughout campus are instrumental in providing professional development opportunities for faculty. For instance, support for

teaching and learning is centrally provided by the Center for the Enhancement of Teaching & Learning, which reports to the Vice Provost for Undergraduate Affairs in the Office of the Provost, and is charged with fostering communities of inquiry, practice, and scholarship to impact student success through faculty-driven programming designed to:

- promote research-based best practices;
- provide consultations on the programmatic, curricular, course, and individual level;
- advance university initiatives in student learning;
- support equity, diversity and inclusion; and
- inspire, invigorate, and empower faculty dedicated to the success of their students.

Similarly, faculty are supported in their discovery role through workshops offered by the Office of the Vice President for Research, which include but are not limited, to the following topics:

- How to Find Funding Opportunities
- Proposal Budgets – Not just a bunch of numbers
- Proposal Development – UC Infrastructure
- How to form Research Teams
- Communicating your Research – Impact and Significance
- Working with Industry
- How to work with Program Officers (for funded investigators)
- Research Ethics

Additionally, a myriad of other groups provide central professional development support in collaboration with the previously named offices and on their own, including: UC Libraries, First-Year Experience, Experience-Based Learning and Career Education (ELCE), Leadership, Empowerment, and Advancement for STEM Faculty (LEAF), IT@UC eLearning, UCHR Learning & Leadership Development, and UC Women Lead.

Discipline-based support for teaching at the unit level varies across the university but more often than not includes systems for annual observations, conducted either unofficially as formative teaching evaluation and/or formally as a core component of the Appointment, Reappointment, Promotion and Tenure processes at the college- and university-level.

The University of Cincinnati proactively seeks to improve the lives and the working environment and climate of our faculty, and thus is a member of the Collaborative on Academic Careers in Higher Education (COACHE). COACHE is a research-practice partnership committed to improve the academic workplace and to advance the success of a talented and diverse faculty. The University of Cincinnati partners with COACHE, issuing their survey in February 2018. It is anticipated that this survey, when combined with COACHE's national comparative dataset, will provide actionable insights on what faculty need to do their best work, thus providing the University of Cincinnati focused direction on how we may continue to improve the experience of our faculty.

Faculty Retention

The University works to retain faculty by providing competitive salaries and benefits and by offering special programs such as the Dual Career Assistance Program, which is designed to assist partners of newly hired tenured and tenure-eligible faculty to obtain faculty appointments at UC. As described previously, numerous opportunities for professional development exist, all of which are designed to bolster faculty success and retention. Moreover, the university partnered with the Collaborative on Academic Careers in Higher Education (COACHE) to obtain data from faculty through COACHE's Faculty Retention and Exit Survey and Faculty Job Satisfaction Survey that the Office of the Provost will use to enhance the climate and conditions for faculty.

Human Resources: Our Staff

The University of Cincinnati has the ability to attract, motivate, and retain talented candidates and employees, and the institution views our staff resources as a core to delivering on our institutional mission. The first step of our hiring begins with our Department of Compensation, which conducts external salary market analysis on our positions. The main purpose of conducting the market pricing analyses for our positions is to make certain of the following:

- Determine job worth within the competing labor market
- Ensure we aren't under-paying for our jobs (does not allow UC to compete)
- Ensure we aren't over-paying for our jobs (spending unnecessary

funds in regards to labor costs).

- Ensure we are paying competitively (most companies desire to compete at or above the average rate of pay for the individual job)

Compensation Plan

Compensation is highly complex and very individualized for employees within any organization. At the University of Cincinnati, our pay is designed to have the ability to attract, motivate, and retain excellent staff. Base pay is the primary way in which we offer compensation; however, the University can offer a combination of both base pay and variable compensation in the forms of bonuses and awards to meet the needs and circumstances of individual organizational units.

Periodic increases to base pay for staff may come in various forms including across-the-board increases that have been approved by the Board of Trustees, **equity** increases based upon various criteria, **reclassification** of a job due to the employee performing permanent higher-level duties, employees proactively applying for higher-level positions via the recruitment process, and management promoting employees into higher-level roles due to merit and performance.

The Department of Compensation partners with the department and the vice presidential area designee to ensure internal equity and external competitiveness, while also mindful of the need to operate within the confines of a budget. In this spirit of collaboration, the normal process is for the Department of Compensation to recommend a **salary range** for the department if Compensation agrees that an increase may be warranted. Not all requests result in the employee receiving a higher salary, but providing a given range allows the departments to have considerable input in the final salary of employee pay within the department –AND- allows the division to stay within the confines of a given budget. With this collaboration, the final salary is a joint effort between the Department of Compensation, vice presidential area, and the individual organizational unit or college within which the employee resides.

The careful hiring of University of Cincinnati employees assures that the institution has the necessary human resources to adequately support its

students and faculty. In section 5.A.4 below, additional information is provided about our ongoing staff development efforts.

Physical Resources

The University of Cincinnati's physical resources support the university's mission of teaching, research, and job preparedness. Across three campuses, three satellite locations, and over 40 leased buildings in the Cincinnati area, the university utilizes over 250 buildings and over 360 acres. Of this total, the university's main, or Uptown, campus operations consists of 155 buildings on 194 acres on two portions known as "East" and "West," 19 satellite buildings on 91 acres; and programs that are housed in leased space. The university also operates two regional campuses that consist of a total of 16 buildings on 223 acres. Our *Uptown Campus Space Summaries* report provides further details about these campus physical assets that include the university's central utility plant; delivery, facility & grounds operations; an innovation center that is the first of its type along the new I-71/MLK corridor; support facilities for the institution's and the region's largest blood donation center; provide limited housing for graduate students; and house observatories that are North America's oldest continuously-operated telescopes and that are a National Historic Landmark.

In response to academic, deferred maintenance, and student recruitment and retention needs, a physical renewal of the campus begun in the late 1980s emanated from a campus master plan that culminated in the campus' current plan, Master Plan 2000 with a 2004 update. The capital improvement program for the Uptown campus during this renewal period has received wide acclaim from sources that include The New York Times, Forbes Magazine, The Los Angeles Times, Princeton Review, Delta Sky, Travel+Leisure, and many architectural journals. The New York Times recently called UC's dramatic campus renovation of the past quarter century "the most ambitious campus-design program in the country."

To guide its ongoing physical development, the university has initiated a planning process that will update the 2000 and 2004 master plans; and the new plan will be implemented through supporting mid- and long-term capital plans. Through the office of the Senior Vice President for

Administration & Finance, maintenance and repair of campus facilities are overseen by the Office of Facilities Management; and the development of college and unit master plans where academic needs and desires are prioritized, campus master plans, and the design and construction of renovations and new buildings are overseen by the Office of Planning + Design + Construction. Changes to the physical campus are in the form of large projects, which are typically over \$1 million and smaller projects that are typically less than \$1 million. Currently funded capital projects in design and under construction total approximately \$467 million, which includes projects for athletics. Plans for the near-term include—but are not limited to—a focus on renovations and studies to replace a basic science research facility in the coming biennia, and renewals of older medical lab research facilities.

To help guide facility investment decisions, the university maintains facility condition information; and determines space needs through the Master Plan planning process. All potential capital projects are prioritized and approved through an all-university committee that includes a Capital Advisory Committee, the President’s Executive Committee, the Real Estate Subcommittee of the Board of Trustees, and ultimately the Board of Trustees. Projects are funded through a combination of state, local university, debt and gift resources.

The dense Uptown campus operates at its highest enrollment in its history; and some of the more obvious implications of this that the campus’s new master plan and supporting capital plan will address are:

High Classroom Utilization. Campus classrooms and teaching labs, housing and dining, and student service facilities are highly utilized. Classrooms approach and in several cases exceed State of Ohio guidelines for daytime utilization, thus the institution is presently constructing new classroom and residential facilities, and evaluating ways to augment its food service program to help address anticipated needs. The institution values achieving optimal utilization and will continue to monitor enrollment and service-delivery trends in order to shape policies that support optimal use. Heavy utilization will contribute to the complexity of the rehabilitation and adaptation of older campus facilities and the institution must therefore

balance optimal utilization goals with those that advance facility stewardship and renewal.

Diversity. The increasing diversity of the student body and faculty cohort translate into an increase in the variety of services and consequent spaces required for onboarding and development, recruitment, advising, peer learning, housing and dining, as well as services that respond to the changing learning needs of a growing international student body.

Adaptability. The institution's most recent state capital plan places special emphasis on restoring and adapting facilities so that they may continue to function, and so that as teaching and research needs at the campus evolve subsequent projects may allow the comprehensive mission of the institution to continue.

Strategy for Not Overbuilding. With the combination of UC's status as a "land locked" urban campus with few options to "spread out" into the adjoining neighborhood combined with uncertainty related to on-campus growth, the university has undertaken a policy of strategic leases and partnerships to provide flexibility ensuring sufficient high-quality spaces while assuring the university does not over build.

Space Tracking. The university tracks space in a Computer Aided Facilities Management (CAFM) using the Postsecondary Education Facilities Inventory and Classification (PE- FICM) system to categorize space. Each room at the university is entered into the database and tied to floor plans. Data collected per room includes room type, departmental assignment, functional use, square footage, room capacity and employee assignment.

The University of Cincinnati uses multiple tools to track Space Utilization including the following:

- Regular Classroom and Instruction Laboratory studies, last conducted in 2014/2015 and in 2016 (consultant: Comprehensive Facilities Planning, CFP. See appendices, *Uptown Campus-West Classroom Utilization*, and *Uptown Campus Teaching Lab Utilization*.
- Ongoing utilization analysis functionality built into CollegeNET's series 25 software

- Annual studies of infrastructure that track campus density, aged space analysis, building complexity, capital investment, deferred maintenance, operational costs with our consultant, Sightlines. See appendix *Sightlines Report*.
- Annual Ohio Department of Higher Education (ODHE) reporting including building physical and functional condition assessment. See appendix, *Uptown Campus Physical Structures Inventory*.

College & Unit Master Plans. In cooperation with the Office of the Provost, the Planning group inside the area of Planning + Design + Construction periodically updates master plans noting curricular changes and the numbers and types of faculty, staff and students in order to address how our space supports our academic mission. Data from these documents supports and informs the prioritization of projects for the university.

Instructional Technology. Recently completed and in-process projects that address a number of the above issues include the Teacher/Dyer renovation, with its new active learning classroom models and technological capacities, as well as the new Lindner College of Business building slated for completion in Fall 2019.

Instructional spaces including traditional classrooms, digital learning spaces, laboratories, and performance spaces are supported by a robust system of enterprise technologies. In addition to technologies that aid instructors, each classroom has the capacity for three wireless connections per student seat to support the variety of wireless devices used by students and faculty. The Classroom Readiness Committee, a partnership among the Offices of Academic Affairs, Distance Education and eLearning (ODEE), Strategic Enrollment Planning, Administration and Planning, and the Chief Information Officer (CIO), ensures that the university's teaching and learning spaces are effective, support the needs of faculty and students, and allow for innovation and discovery. The committee collects feedback from instructors and students about the effectiveness of teaching spaces, academic technology, and other support. Furthermore, the institution provides access to computer laboratories and software to support teaching and learning.

Infrastructure Tracking. University infrastructure is tracked in a Geographic Information System (GIS), and components include the following:

- Utilities: Electric, Water, Natural Gas, Telecommunications, Tunnels, Light Poles, Manholes
- Topography
- Property Lines
- Facilities Management – Trees, Dumpsters
- Public Safety – Help Phones, Fire Hydrants, Surveillance
- Miscellaneous – Outdoor Art, Monuments/Memorials, Sustainability, Signage, Dumpsters, Building Conditions, Driving Paths

Space Policy, Planning & Utilization. Future directions and topics include:

- Extending teaching hours
- Supporting blended courses
- Optimizing sharing of large event, multipurpose and open spaces
- Exploring office space—the highest quantity but least-utilized space at the campus—in ways that support and do not detract from the academic and research mission of the campus
- Evolving the use of libraries into primary learning spaces
- Evolving varied learning environments, including “innovation portals,” library classrooms, large flat classrooms with adjustable furniture, and the use of previously unassignable spaces
- Monitoring energy use

Energy, Sustainability, & Water Management. The University of Cincinnati consumes large amounts of energy, and on its Uptown campus operates two utility-generation plants—one of which is co-generating—and maintains a distribution system that also supplies area hospitals that include the adjacent Veterans Administration and UC Health, Cincinnati’s Level One Trauma Center. Savings garnered from co-generation help reduce operating costs. Through capital improvements since 2007, the university has also improved its utility plant efficiencies, and has improved the efficiency of its largest energy-consuming facilities: the nearly 1,000,000 gross square foot medical research facility (MSB), our basic science teaching and research facilities (Crosley Tower and Rieveschl Hall), and two of our oldest high rise residence halls (Morgens and Scioto) to name a few. Since 2005, most if not all of the university’s new buildings and major rehabilitations continue

to be LEED-registered Silver or higher, and all have greater-than-predicted energy efficiency.

The university maintains a comprehensive sustainability program. This includes adaptations to university food service programs such as tray-less dining, composting and cooking oil filtration; encouraging the purchase of environmentally-friendly products such as Energy Star appliances; expanding recycling and waste management programs; utilizing snow-removal procedures that minimize the harmful effects of salt on landscape, hard surfaces and storm water runoff. Under the guidance of a Stormwater Management Master Plan, the university finds ways to reduce its stormwater runoff which contributes millions of gallons of water annually into Cincinnati's combined sewer system, to utilize stormwater for grounds irrigation, and to promote reduced water consumption as part of facility renewals and building-occupant education. Adoption of multiple transportation modes at its Uptown campus to-date have also prevented the need for the university to invest in additional campus parking facilities (Zipcar, Zimride, and extended ride-share programs; electric vehicle charging stations; extended campus shuttles; stops for on-campus inter and multiple intra-city buses; and a student bicycle program).

Information Technology (IT) Resources

The Vice President for Information Technology and Chief Information Officer leads the University of Cincinnati's enterprise technology organization (IT@UC) and works with the university's distributed IT organizations to achieve an optimal balance of both enterprise and customized technologies and services that support the academic, research and operational priorities of the university. University-wide IT Governance (five topical committees that report to an IT Council) includes student, faculty and staff representatives and feeds directly to university leadership.

Per the university's Information Security Policy and Compliance Framework, all information security policies must be annually reviewed and updated if applicable via IT Governance. IT Governance influences the design and delivery of eLearning and research technologies, enterprise applications systems and services, networking and telecommunications, information security, data center operations, and user support and outreach. IT@UC's

\$40-million-dollar budget includes priority investments to support programs for university-wide eLearning and federal accessibility compliance priorities (e.g. continued adoption of the tools and resources in the Canopy eLearning ecosystem and establishing and sustaining the accessibility of the websites and learning management systems operated by the university). The Board of Trustees recently approved a major capital project to upgrade and replace IT network infrastructure and telephone systems, which are foundational to support increasing reliance on eLearning tools and approaches to 21st century teaching and learning. The evidence folder includes our IT governance structure, bylaws, security compliance framework, accessibility (for 504/508 compliance), and our learning management systems.

Capital Project for IT:

There are seven times as many wireless devices accessing the University of Cincinnati's IT network today than five years ago. More than 68,000 wireless devices—and 22,000 wired devices—connect to the network each day. The network experienced an all-time high of 119,000 unique wireless connections in the month of September 2017, a clear indicator of an increasing demand for service and connectivity. In response to this increased demand, the Board of Trustees approved the IT Network Infrastructure and Telephone System Upgrade/Replacement project to replace all wired and wireless network infrastructure and the university's telephone system. This project to replace the foundational IT infrastructure begins in January 2018 and will take 24-months to complete.

Huron Consulting Engagements:

A third-party audit conducted by Huron Consulting, Inc. also recommended the immediate replacement of all of these critical foundational components of the university's IT network infrastructure. The university engaged Huron to look at different budget models for funding IT that ensure the capital investment cycles (5-to-7-years) necessary to maintain the IT infrastructure are in place, noted in the IT Capital Infrastructure Project.

Business Continuity and On-Data Center Upgrades:

The university is a member of the State of Ohio Computing Center (SOCC) operated by OARnet. The State of Ohio Computer Center (SOCC) serves as

a business continuity site for the university's core IT systems, which include faculty/staff email; web content management system (Adobe Experience Manager) and authentication (login) capabilities for Catalyst (Student Information System), Canopy/Blackboard (eLearning ecosystem/Learning Management System), SuccessFactors (Talent Management), Concur (Travel and Procurement) and Box (Personal Cloud Storage). The university tests the connection from the primary "on premise" Data Center to the SOCC annually. Other milestones related to business continuity include connecting the primary on premise Data Center to a back-up generator shared with UC Health; upgrading Uninterruptible Power Supplies (UPS); and adding a second point-of-presence for external telecommunication and Internet service providers for the institution in the event the primary ingress is disabled. These infrastructure investments and redundancy are continuing to be important due to the university's complete reliance on enterprise digital systems.

Joint Planning & Governance:

University-wide IT Governance (six topical committees that report to an IT Council) includes leadership of distributed and central IT, Student Government (Undergraduate and Graduate) and Faculty Senate. The IT Governance committees meet monthly and report to the IT Council Advisory Committee, which escalates enterprise IT updates (e.g. change management and project management) to the IT Council and to the university's senior leadership. IT staff serve as de facto members of Faculty Senate IT and eLearning Committees. Communication, collaboration and strategic partnerships are hallmarks of IT Governance.

Guided by the university's Information Security Policy and Compliance Framework, all information security policies must be annually reviewed and updated if applicable via IT Governance. Ongoing partnerships with Enterprise Risk Management, Internal Audit, Public Safety and Emergency Management Advisory Committee to strategically examine the university's risk profile and risk response. IT is a permanent member of the university's Emergency Management Advisory Committee (EMAC) charged to create a comprehensive disaster recovery framework. The university holds cyber security insurance to protect against information and cyber security risks.

The enterprise IT budget includes priority investments for university-wide priorities including Information Security, eLearning and federal accessibility compliance (e.g. maintaining equipment in centrally scheduled eClassrooms; and establishing and sustaining the accessibility of the websites and all courses, including online courses, delivered by the university). Please refer to Accessibility Network Roadmap, Accessibility Network Governance, and eClassroom Report.

Canopy:

Canopy is the University of Cincinnati's eLearning ecosystem, which makes enterprise learning technologies available to all students and faculty. The tools available in Canopy include: Blackboard (learning management system), Echo360 (classroom capture & active learning tools), Kaltura (video repository and streaming), WebEx (web conferencing), Examity (proctored testing), UC Smartbooks (e-texts), and Lynda.com/LinkedIn Learning (online learning platform). The university's Learning Technology Support Team manages a partnership with Blackboard Student Services that allows the university to provide students, faculty, and staff with 24x7 phone and chat support for the technology tools within Canopy. Technologists in the Center for Excellence in eLearning collaborate with the Center for the Enhancement of Teaching and Learning to support the pedagogical components of Canopy tools in the classroom and online. Please refer to eLearning Strategic Map and eLearning Strategic Plan.

Learning Management System & Cloud:

The top three commercial LMS platforms (Blackboard, Canvas, D2L) are now cloud-based Software as a Service (SaaS) platforms. UC currently hosts Blackboard on premise, but will need to migrate to the cloud in the next two-to-three years. The Learning Management System Task Force (LMS TF) conducted a comprehensive market scan to determine which LMS platforms were viable for use at UC. This included issuing a formal RFP, conducting usability testing, and hosting public demonstrations.

5.A.2.

Prompt: The institution's resource allocation process ensures

that its educational purposes are not adversely affected by elective resource allocations to other areas or disbursement of revenue to a superordinate entity.

Response: The annual budget process is driven by the Budget Committee and consists of the following activities: (a) Budget Planning and Assumptions; (b) Incremental General Funds Schedule; (c) Budget Hearings; and (d) Board of Trustees Approval.

Although the budget is prepared and presented centrally, it is compiled within the distinct operating units. To ensure horizontal and vertical input and communication, the Budget Committee is comprised of representatives from the divisions of the university to ensure representation. Current membership consists of: (a) Senior Vice President of Administration & Finance; (b) Vice President of Finance (Chair); (c) Senior Vice Provost for Academic Finance; (d) Senior Associate Dean – Finance Operations, College of Medicine; (e) Assistant Vice President – Research Operations Management; and the (f) Vice President of Government Relations and Communications.

The Budget Committee meets twice per month in the first six (6) months of the fiscal year, and weekly in the last six (6) months of the fiscal year as the budget preparation activity intensifies. A product of this committee is the Preliminary Budget Planning Assumptions Memorandum. This document provides guidance for the divisions to begin working with the colleges/units under their auspice to compile their individual and divisional budgets.

Divisional “budget hearings” are held that allow each college/department to present their plans to the divisional leader for consideration and possible modification. The divisional leaders then consolidate these individual plans into a divisional plan that is presented to the President to allow for a deeper discussion of alignments with strategy, impacts, outcomes, and resource allocations. Please refer to the Budget Presentation FY 2018.

The divisional budgets are then “rolled up” by the Office of Budget Management and a university “budget book” is prepared and presented, first to the Finance Committee of the Board of Trustees, and then brought

forward by the Finance Committee Chair, to the entire university Board of Trustees for final approval. Please refer to the University Current Funds Budget Plan 2017-2018.

In addition to the various check points included within the budget hearings the resource allocation process ensures the educational mission is not adversely affected by elective resources being allocated to other areas via the implementation of the Performance-Based Budgeting System that is employed within the academic areas.

UC's annual planning and budgeting process align educational goals with academic investments. The university's performance-based budget (PBB) system directly links enrollment and retention to annual base budgeting. This system prevents significant reallocation away from our core academic mission. The investment in the educational mission of the university is formalized and assessed through annual budget hearings for each academic unit (colleges and offices). These meetings are attended by the university's executive officers including the provost, several vice-provosts, relevant deans, the senior vice provost for academic affairs and the senior vice provost for academic finance and administration, and budget officers. This process is rolled up into an over-arching academic budget plan that is then reviewed and approved by the President's cabinet and BOT.

Performance-Based Budgeting (PBB) encourages colleges to advance UC's core instructional mission. PBB is an incentive model that encourages innovation and entrepreneurship in academic programming. With PBB "splittable revenue," colleges that exceed their tuition targets are rewarded with expense budget increases, and these increases provide additional resources for colleges to continue growing their academic enterprise. The PBB model also provides resources for innovations that are beyond the scope of any one college. Significant examples of these initiatives include Third Century initiatives and the new student information system, Catalyst.

5.A.3.

Prompt: The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the

institution's organization, resources, and opportunities.

Response: Despite several changes in executive leadership over the past decade, UC's overarching mission and goals have remained on a steady upward trajectory. The planning process continues to dedicate the majority of the institution's resources in support to its academic and community missions. The budget process, shared governance, and commitment to our core principles has enabled this success.

Over the past decade, UC has made and met a number of specific goals related to its mission statements and academic plans, including the Third Century, 2019 and our Campus Master Plan and our newly created Strategic Direction. As is natural, these various plans have refined and evolved a core set of goals in key areas, and together these documents demonstrate that the university establishes and provides resourcing for consistent, ambitious yet attainable goals. For example, below we document our progress on key goals around student success that are elaborations of our mission statement:

- Retention growth: (GOAL of 90%, currently at 86% as of 2016-17)
- Graduation growth: (GOAL of 75%, currently at 68% as of 2017-18)

UC also continuously strives for new avenues for deepening our commitment to experiential education: As a distinctive aspect of a UC education, in order to graduate every baccalaureate student participates in transcribed experiential learning. This has resulted in a steady increase in course-based experiential learning, with student participation growing from 26,121 in 2012 to 34,318 in 2016-17 noted in our student fact book. Under President Pinto's leadership, we have renewed our dedication to assuring our graduates are prepared to live and work as productive members in our technologically driven society.

An additional arena of our impact and innovation lies in our multifaceted efforts to continue to strengthen the diversity of our faculty and students. Our faculty is currently at 8.5% URM, while our student body is currently at 15.6% URM. Our senior leadership team, including our vice provost for enrollment management, works with each of the deans to assure annual progress is being made towards assuring that as an urban, research

university we increasingly mirror the diversity of the community in which we reside.

5.A.4.

Prompt: The institution's staff in all areas are appropriately qualified and trained.

Response:

Minimum Qualifications for all staff positions:

Human Resources policies and procedures with specific rules related to hiring, qualifications and filling vacancies at the university, provide the strict process for establishing minimum qualifications for staff positions at the university. Human Resources at the University of Cincinnati is responsible for reviewing and maintaining all staff job classifications within the University, HR policy 13.01 – Job Classifications. All active positions at the University of Cincinnati include a job description consisting of (1) Essential Function (2) Characteristic Duties, and (3) Minimum Qualifications. The Minimum Qualifications section of the job description outlines the knowledge and skills required to successfully function in the job. The minimum qualifications cover a variety of areas pertaining to the job, for example, the level of education/experience required, and analytical skills and ability required for the job. Human Resources collaborates with supervisors, hiring managers, and departmental administrators to determine the necessary qualifications for the role and to be successful in the position. Once hired and/or promoted into a role, an incumbent has the ability to take advantage of staff training and professional development programs as well as the ability to take advantage of a myriad of additional college-level courses and certifications offered at the University of Cincinnati.

Staff Training:

Over 2 million dollars is allocated to travel for professional development, training and training materials. Training methods include but are not limited to, on-the-job training for position-specific required duties; instructor-led workshops including topics on leadership development, technology, professional development, and compliance; webinars, online training repository including job aids, recorded resources and updates;

regional and national professional development opportunities; and e-Learnings. The e-Learnings represent a significant and growing investment, with faculty compliance education modules that provide training on Office of Equal Opportunity and Access, the Fair Labor Standards Act, risk management, minors on campus, the Americans with Disabilities Act, the Family Medical Leave Act, as well as modules covering new hire benefits and retirement options. Created in collaboration with stakeholders across campus, Central HR Learning & Leadership Development team's collection of e-Learnings is targeted to ensure an efficient onboarding experience for new faculty and staff, eliminate or mitigate risk in key compliance areas, or develop management skills for faculty and staff in leadership positions.

The Learning & Leadership Development and Talent Acquisition & Retention teams in human resources have worked to provide resources for employees starting their careers with UC. The use of our SuccessFactors New Hire Portal provides our new employees with access to a repository of information in their first thirty days to help them acclimate to being a part of the UC community. Some of the information found in the New Hire Portal include links to UC benefits, retirement information, an acronym dictionary, a welcome letter from the president, and other pertinent information.

Another resource added in 2017 is the *Employee Type Toolkits*. These toolkits are beneficial for new employees getting to know UC as well as experienced Faculty and Staff looking to find more information on the Family Medical Leave Act, Leave of Absence requests, Outside Activity Reports, and other material integral to their position at UC.

For faculty and adjunct faculty, the Human Resource's Careers page now includes information on Dual Career Assistance, which assists eligible UC employees in finding employment for their partner. Also included on the Careers webpage is an online orientation section for Adjunct Faculty. Because Adjunct Faculty are not required to attend New Employee Orientation (NEO) in person, the Human Resource page now includes an overview of benefits, HR compliance training, Equity and Inclusion practices, payroll information, and other important information to help ensure the success of the new adjunct faculty member.

Early 2018, the HR Learning & Leadership Development team opened a new Staff Success Center to enhance the skills, knowledge, and abilities of staff. The Staff Success Center provides a central location to support employees in their career and academic advancement, with the aim of leading to retention and internal talent pipelines for succession planning, and fostering a culture in which knowledge and expertise are shared among diverse populations.

The Staff Success Center provides a wide range of professional development opportunities, including classes (e.g. change management, coaching, communication, etc.), E-Learning design and delivery and technical skills training (e.g. Catalyst, UCFlex, P-card, etc.), personality assessments (e.g. DiSC), interview and resume coaching, performance consulting, manager academy certificate programs, one-on-one coaching, individual contributor certificate programs and more. Please see staff development documentation and the course catalog.

5.A.5.

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

Response: The budgeting process starts with a strategic plan presented by the dean/unit head and the business administrator to the provost, The senior vice provost for finance and administration and various others. That plan is then executed in a university process identified as Budget Formulation where the detailed budget is loaded into the system. Provost finance staff reviews these budgets prior to finalization. Spending is then monitored against the budget loaded. A university Board rule prohibits overspending of the budget. All funds are monitored to assure compliance with the Board rule. College business administrators are notified if there is a fund in deficit and follow up occurs to assure resolution. Additionally, colleges meet with provost staff at least twice per year to review financial progress on both revenue and expense.

Additionally, we have begun using a Tableau data-visualization program that compares current year expenses to prior year expenses on a quarterly basis. The process is designed to identify variances of \$25,000 and 5%

above prior year spending. Academic units are reviewed by the senior vice provost for academic finance and administration, and then “rolled up” by the vice president for finance to an overall university level, before being reported to the president on a quarterly basis. Please see recent PBB Progress Tracking Report.

Prudent fiscal monitoring also includes annual local funds analysis, conducted by the senior vice provost for academic finance and administration with each dean and business administrator. This additional layer of review provides assurance that both designated and non-designated funds are properly stewarded. Please view the appendices for FY 2017 Local Fund Analysis reports by college.

Sources

- FY 2018 PBB Progress Tracking Report
- FY 2017 Local Fund Analysis reports by college

5.B. – Core Component

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

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

Argument

5.B.1.

Prompt: The governing board is knowledgeable about the institution; it provides oversight of the institution’s financial and academic policies and practices and meets its legal and fiduciary responsibilities.

Response:

University of Cincinnati Board of Trustees

Under Ohio Revised Code 3361.01, the University of Cincinnati’s Board of Trustees is the governing body. The board is composed of eleven members, nine voting members and two non-voting student members, who are appointed by the Governor of Ohio with the advice and consent of the State Senate. Trustees are appointed to a nine-year term of office, with the exception of student trustees who are appointed to a two-year term. The university faculty senate chair and two additional elected faculty representatives serve as official representatives to the board. The president of the undergraduate student government serves as the official student representative to the board. The Governor of Ohio appoints the Undergraduate and Graduate Student Trustees for two-year

terms. The Graduate Student Body President meets with the Graduate Student Trustee to discuss items to report to the Board of Trustees. The Graduate Student Trustee then delivers a report to the Board at each Board of Trustees Regular meeting. The president of the alumni association, or the president's designee, serves as the official alumni representative to the board.

Responsibilities of the board include selecting and appointing the president; setting the operating budget; approving personnel appointments; granting all degrees awarded by the university, including honorary degrees; establishing tuition and fee rates; approving contracts; and approving all rules, regulations, new programs and degrees of the university. The board is accountable for how the money received by UC from the Ohio Department of Higher Education is spent. The BOT office provides a robust orientation for new trustees. Following their appointment, they engage with key members of the Board, including the chair, vice chair, and the governance committee chair. They are invited to campus for a formal orientation process that includes meeting with some members of the president's cabinet and department heads such as the president, general counsel, senior vice president for administration and finance, senior vice president for health affairs and the senior vice president for academic affairs and provost, vice president for research, leadership from audit and risk management and the Board secretary and executive vice president to gain an understanding of BOT policies and bylaws, ethics, the operations of the university, strategic priorities, demographic and financial information, and opportunities and challenges that face the university.

The University of Cincinnati president reports to the University of Cincinnati Board of Trustees and is granted authority over all aspects of the university as outlined in University Rule 3361: 10-5-01
Organization: the president of the university. Per the UC President's Organizational Chart, the senior vice president and provost for academic affairs reports to the president. Additional direct reports to the President include the VPs for government relations and communication, for development and alumni relations, for equity, inclusion and community impact, for safety and reform, for athletics, for legal affairs and general counsel, for research, as well as the chief innovation officer, and the

senior vice president for health affairs and the senior vice president and provost for academic affairs.

The vice president for government relations and communications is charged with assuring that the Office of the President is in regular communication with the campus and larger community, and ensuring major decisions are appropriately disseminated to all constituencies, via personal presentations, listserves, social media and more traditional media outlets.

Senior Vice President and Provost for Academic Affairs

The colleges' deans (except for the college of medicine), report to senior vice president and provost of academic affairs who serves as the chief academic officer for the University of Cincinnati. The provost is responsible for providing strategic direction for the university's fall 2017 enrollment of 44,783 students, 4,100 faculty and 13 academic colleges, including two regional campuses plus the Graduate School and University Libraries. The provost also manages a senior leadership team that supports various aspects of faculty and student success including International Affairs, the Honors Program, Enrollment Management, Institutional Research, Academic Finance and Administration, Student Affairs, Undergraduate Affairs, and Faculty Affairs including recruitment, reappointments, promotion and tenure (RPT), faculty development, and labor relation and contract negotiations with the AAUP.

College Deans

The college deans have general supervision of all interests of the college including authority to call and preside over faculty meetings; appoint the members of established college standing and ad hoc committees as necessary, after consulting an elected faculty committee; represent the college, its relations with students and student organizations, and in cooperation with the office of the vice president for student affairs and human resources has responsibility for the welfare of the students of the college; sees that the policies established for the conduct and discipline of students are enforced; and signs all diplomas and other official papers of the college. Finally, each dean is explicitly charged as a steward of the college's fiscal resources and to carefully maintain a balanced

budget. The University of Cincinnati has two additional deans, that of the University Libraries, and the vice provost and dean of the graduate school. Please refer to a representative dean offer letter that articulates these job duties.

Senior Vice President for Administration and Finance

Administration & Finance at the University of Cincinnati provides a broad range of financial and administrative services to students, faculty, staff and other university stakeholders. The division strives to deliver all of its services with efficiency and nimbleness and in the best interests of the university.

Major units of the division include Business Affairs, Community Development, Environmental Health & Safety, Finance (including Campus Services, which includes student housing, food, campus recreation, parking, and retail operations), Human Resources, Internal Audit, Investments, Planning + Design + Construction, and Purchasing.

The Office of the Senior Vice President for Administration and Finance assures that all fiduciary and legal responsibilities of the institution are met with a series of reviews and benchmarking. Internal audit maintains a work plan that provides a two-year review cycle for all units, conducting audits that outline both plans for improvement and recognition of accomplishment. Quarterly reporting to the audit and risk committee of the Board of Trustees on issues identified through the university risk management program provide an additional layer of regular review. The division of finance and administration is also responsible for the quarterly review of our audited financial statements, which are reviewed and approved by both the audit and risk subcommittee as well as the full board of trustees on an annual basis. The senior vice president for administration and finance further serves as the liaison between both the audit and risk subcommittee and the finance and administration subcommittees of the board of trustees, and also serves as a member of the real estate committee of the board of trustees and as an ex officio member of the board of trustees investment subcommittee, thus assuring alignment across the divisions and the university as a whole.

5.B.2.

Prompt: The institution has and employs policies and procedures to engage its internal constituencies—including its governing board, administration, faculty, staff, and students—in the institution's governance.

Response: The University of Cincinnati has a comprehensive list of rules that govern the university's activities. All university employees are expected to comply with university rules and policies at all times. The rules are publicly accessible on the university's website and are categorized in seven divisions: 1. Administration 2. Business and Finance 3. Personnel 4. Students 5. Academic 6. Property 7. Auxiliary Policies and Procedures. The University of Cincinnati has extensive administrative policies and procedures that address various aspects of governance of the university and its colleges. UC Rule 1.12.1 Formulation and Issuance of University Policies states, "University policies connect the university's mission with individual conduct, clarify institutional expectations, support compliance with laws and regulations, mitigate institutional risk, and enhance productivity, efficiency and cost containment in the university's operations. University policies should be thoroughly reviewed, maintained, and made available to the university community to promote awareness, compliance and accountability." This Rule also establishes the procedure for the development of new policy and procedure.

University Governance

The University of Cincinnati employs the University Rules, and policies and procedures, through established organizational structures, including standing committees and student organizations, to engage constituents in institutional governance. The university supports shared governance by university administration and faculty. This model of participatory governance, established in 2007, outlines a structure that ensures constituents from across the university are engaged in university governance. Proposals within UC follows shared governance pathways for engaged decision-making that clearly articulates the flow from the college to the all-university governance committees to the president to the Board of Trustees. The path includes the following: college or unit

committees, dean or division, all-university governance committees, provost, president, and, ultimately, the Board of Trustees. An integrated decision-making model is in place that assures a clearly articulated decision-making process from the campus community to the president.

UC faculty, staff and students contribute and collaborate on the establishment and application of academic policies and practices in accordance with university rules and procedures through various college-level and university-level organizational structures and committees.

5.B.3.

Prompt: Administration, faculty, staff, and students are involved in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

Response:

University Shared Governance Framework All-University Governance Committees

UC has a number of all-university governance committees that provide integrated oversight of financial and academic policies and procedures. These committees include faculty, staff, and students as required by their individual framing documents. These committees, a brief overview of each committee's charge, and the committees' memberships are outlined below.

The Deans' Council serves as a forum for the deans to discuss and evaluate important issues facing the University and to provide advice, guidance, and recommendations to the provost and president on these issues and other academic matters. All deans (including the dean of the libraries and the vice provost and dean of the graduate school) serve as members of this committee. This committee meets regularly, once as a body comprised solely of the deans, and the second time with the addition of the provost, the vice provost for undergraduate affairs, the senior vice provost of finance and the senior vice provost for academic affairs. Additional guest speakers are added at the discretion of the deans and provosts, as appropriate. Please find representative meeting agendas here.

The Faculty Senate, organized under and pursuant to rule 3361:50-3-01 of the Administrative Code, considers matters affecting the university and makes available to the president and the Board of Trustees its aid, advice, and counsel. Faculty Senate is the primary governance body of the UC faculty and has various subcommittees. Additional faculty serve as at-large members on Standing Committees.

The Fiscal Coordinating Committee acts as an advisory group to the senior vice president for administration and finance and is charged to help facilitate shared decisions around fiscal planning and priorities. Participatory task forces (e.g., Performance-Based Budget Team) are convened and report to the Fiscal Coordinating Committee. The Fiscal Coordinating Committee (FCC) interfaces with the Academic Operations Committee and includes faculty, administrators, and undergraduate and graduate student government representatives.

Comprised of faculty, staff, and students the Capital Advisory Committee (CAC), through an informed understanding of the overall physical campus, provides advice and feedback on the development of the University's capital priorities, and makes recommendations to the Executive Committee on the formulation of the Capital Budget and capital projects. The senior associate vice president for Planning + Design + Construction responsible for moving priorities through institutional approval including the CAC integrates the input of Facilities Management and Utilities, the Office of the Provost, the deans, Student Affairs, Administration and Finance including Debt, Capital Expenditures, and University Budgeting.

The Real Estate Subcommittee of the Board of Trustees provides feedback to the senior vice president for administration and finance and assisted by the senior associate vice president for Planning + Design + Construction on real estate dispositions, updates to both the campus master plan and to unit-specific or campus district-specific master plans, the university and state capital plans, and capital projects that seek Board approval.

The President's Cabinet (comprised of a senior direct reports as described above) shares information among senior leadership and provides input to the President.

The Strategic Enrollment Management Policy Council is charged to work with the colleges to set, manage, and monitor enrollment targets for the University, coordinate significant enrollment initiatives from a strategic perspective, and critically appraise cost-benefit ratios before forwarding to the Budget Committee for financial approval. The committee also assures enrollment initiatives align with the Academic Master Plan and guides the development of the associated Five-Year Enrollment Plan.

The Undergraduate Academic Affairs Committee provides leadership and oversight to the university's emphasis on excellence in undergraduate education.

The University Academic Committee reviews and recommends newly-proposed academic policies, procedures, and programs to the Provost that impact the university's teaching, research, and service missions.

The Graduate Council considers matters pertaining to the policy of the Graduate School and present recommendations to the graduate faculty. Through the dean of the Graduate School it enforces the rules and regulations of the graduate faculty, proposes and considers measures and policies for the improvement of graduate education, assists the dean of the Graduate School, as needed, with issues of discipline and in deciding on petitions of the students and staff, and evaluates new graduate programs for recommendation to the graduate faculty.

The University Budget Committee reviews and recommends budgetary and fiscal plans, policies, and procedures that impact the university's teaching, research, and service mission as well as its overall financial health. It also provides oversight of the budget planning process and supports the provost, president, and Board of Trustees on fiscal matters that impact the university's mission. The committee works with and seeks input from the Fiscal Coordinating Committee when appropriate.

The University IT Committee considers all significant IT initiatives, issues and policies that impact the university, works with the chief information officer to prepare recommendations to the senior vice president for

administration and finance and the senior vice president for academic affairs and provost, and develops appropriate IT policies, standards, guidelines, practices, and compliance expectations. UC has faculty and staff representatives on the IT Topical Committees.

The Undergraduate Student Government represents the interests and opinions of undergraduate students, provides for the government of student organizations, and promotes the general welfare of the student body. Student Government is the official representative of all undergraduate students attending the University of Cincinnati.

The Graduate Student Governance Association (GSGA) is an organization run by graduate students for graduate students. It serves as the executive board for the Graduate Student Assembly, which is comprised of representatives from each Graduate Student Association (GSA). The GSGA's purpose is to make the graduate student experience as beneficial as possible to students and the university. The GSGA advocates on behalf of the graduate student population, promotes research and educational goals beyond what is merely required for a degree, and establishes bonds between graduate students and other university populations.

After a proposal has been approved by the appropriate All-University Governance Committee, it is forwarded to the University Academic and University Budget Committees. The role of these committees is to seek advice from the Fiscal Coordinating Committee as necessary, review and endorse proposals and forward to provost, or return to originating body for additional information.

The provost seeks advice from Academic Operations Committee (AOC) and Faculty Senate as necessary; reviews, endorses, and makes decisions; or forwards to the President for review and recommendation; or returns to University Academic Committee or University Budget Committee for further information.

The president seeks advice from the Cabinet and Executive Committee; reviews, endorses and makes decisions; or forwards to Board per University Rules; or returns to the provost for further information and clarification.

The Board of Trustees reviews and makes decisions, or returns to the president for further information and clarification. The organizational structures outlined in this Core Component demonstrate the college and university's commitment to widespread, representative engagement across all internal constituents. Administration, faculty, staff and students are actively engaged throughout the decision-making process ensuring that stakeholders are able to contribute to the governance of the college including setting academic requirements, policy and processes. The distribution of representation begins with the university rules under the direction of the Board of Trustees and ends with the Board of Trustees carrying out the decisions that have been vetted through the appropriate organizational structures.

The university supports shared governance by university administration and faculty. This model of participatory governance, long established and refined in 2007, has continued to evolve over the last decade and remains central to setting academic policy and process.

Sources

5.C. – Core Component

The institution engages in systematic and integrated planning.

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

Argument

5.C.1.

Prompt: *The institution allocates its resources in alignment with its mission and priorities.*

Response: The university's annual budget process assures that our resources are aligned with our mission and priorities. The investment in the educational mission of the university is formalized and assessed through annual budget hearings for each academic unit (colleges, and offices). These meetings are attended by the university's executive officers including the provost, several vice-provosts, the senior vice provost for academic affairs, the senior vice provost for academic finance and administration, enrollment management, and relevant deans, and budget officers. Prior to each budget hearing every dean is provided with a one-page summary. This concise summary is a collaborative document created by the senior vice provost for academic finance and administration, the senior vice provost for academic affairs and institutional research. Each individual dean's scorecard assures alignment of fiscal investments with faculty and student outcomes, and collectively these individual scorecards assure the institution meets and exceeds its overarching goals. The college-level enrollment planning is

integrated into this budget process, and the vice provost for enrollment management and the vice provost and dean of the graduate school also attend, to assure that enrollment projections are reasonable and viable projections. This comprehensive process is rolled up into an over-arching academic budget plan that is then approved by the President's cabinet and the Board of Trustees.

Units that support the Colleges often face budget challenges. These units do not generate independent revenue and are dependent on the University budget process to provide much needed support especially when the University is in a growth climate as UC has been over the past ten years. Units such as Enrollment Management, Libraries, Student Affairs, Title IX, University police and other support units often require added support as a result of student growth. There are two different budget process that potentially provide this kind of strategic support. One process is through the Office of the Provost. Funds captured through the Performance Based Budgeting process have been used to provide support for many of these units as they come to terms with serving significantly more students. Additionally, the Central University budgeting process also sets aside funds each year to provide strategic support to units that require added resources to deliver services consistent with our mission.

5.C.2.

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

Response: Prior to its annual budget hearing, each college receives a summary report dean's scorecard as noted above in section 5.C.1 that includes centrally collected assessment data. In addition, each college receives a comprehensive document set. This report includes the results from NSSE, SSI, course success rates, enrollment in Experiential Learning courses, the General Education senior capstone survey, status report on each academic program's assessment plan, and results from a student survey conducted among first year students in Learning Communities. Using these reports as supplements to their own assessment data, each college is asked to address three questions in its budget presentation.

These three are: (1) address key strengths, (2) identify areas for improvement, and (3) identify how the college budget and plan reflect findings from assessment. The Office of the Provost expects each college to incorporate the review of assessment data into its annual budget planning process. Each college summarizes its own evaluation of relevant assessment data in this context, and the particular ways in which findings informed their financial planning. Assessment findings inform budget decisions specific to each college including faculty hiring, physical facilities, learning assistance supports, faculty development, and academic advising.

Non-academic student-centered units that report to the provost include: enrollment management, IT@UC (information technology), student affairs, undergraduate affairs, faculty affairs, and international affairs and honors. For each of these units, the budgeting process mirrors that of the colleges. All of the same budgeting requirements and assessment as described above apply to these units as well. The senior vice provost for academic finance and administration provides overarching financial oversight and assures alignment with the institutional goals and strategic direction.

5.C.3.

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

Response: The planning process encompasses the institution as a whole with each area engaging in planning and assessment (academic plan, research plan, information technology plan, diversity plan, enrollment planning, hiring plans, physical and facilities planning, development and fundraising, etc.) Each unit's individual plan is in support of our overarching mission and strategic direction. Annual assessment reporting offers evidence regarding progress towards specific goals. The university's governance structure provides integration and alignment across the various areas of the institution with annual reviews, the annual budget hearing process, and the president's cabinet playing key roles in this effort.

Integrated Planning

Each unit through their respective vice president engages with the senior

vice president for administration & finance to develop college and unit master plans that inform capital improvement priorities to follow the campus master plan. Planning is data-informed and utilizes tools that include but are not limited to enrollments and enrollment projections, facilities and space models (through CAFM and Archibus), and space utilization studies employing nationally recognized standards. The planning process includes coordination of Academic, Student Affairs, Research, and Auxiliary priorities through the respective vice president and all university committees; the coordination of physical priorities through Facilities Management, the provost, the executive committee, and the Board of Trustees; and coordination of financial priorities through Debt Management, the vice president for finance, the senior vice president for administration & finance, and the Board of Trustees.

In addition to relying upon university's administrative hierarchy for input into the planning process, the institution engages with faculty, staff, students, and external constituents in listening sessions, faculty senate and town halls. The president's schedule pervasively includes meetings and events with faculty, students, staff and external constituents. Through social media, these groups are also engaged and frequently vocal.

Alumni and community engagement is held as a core institutional value, and the university celebrates the accomplishments of our 285,000 living alumni throughout the globe. Our alumni networks are active, participating in annual events such as homecoming, our alumni weekend, bearcats at the ballpark and over 400 other events throughout the year. Many alumni volunteer, donate talent and treasure, and widely participate via our national and college alumni networks, various affinity groups and social media channels. Our active and engaged alumni are a treasured strength and resource of the institution.

5.C.4.

Prompt: The institution plans on the basis of a sound understanding of its current capacity. Institutional plans anticipate the possible impact of fluctuations in the institution's sources of revenue, such as enrollment, the economy, and state support.

Response: UC's planning process and budget model thoughtfully includes enrollment projections and targets, and several scenarios for tuition rates and state's share of subsidy.

As part of the annual budget review process outlined above in 5.A.5, units and colleges must provide a summary of how allocated expenditure met defined missions and provide data showing the impact of these allocations and how they are aligned with our institutional strategic direction.

5. C. 5

Prompt: *Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.*

Response: UC thoughtfully plans for the future in a variety of dimensions. Planning in key areas of technology, demographic shifts, and globalization are evidenced by the university's structure and budget, and these areas each have offices headed by executive leadership (a vice provost or a vice president) to assure both careful monitoring and nimble responsiveness. Each vice provost/president in these key areas, including our vice provost for enrollment management, our vice provost for international affairs and honors, and our vice provost and CIO for UC information technologies all report to the office of the provost and these units are integrated into decision-making through the ongoing budget and planning processes of the university.

The vice president for information technology and chief information officer leads the University of Cincinnati's enterprise technology organization known as the Information Technology @ the University of Cincinnati unit (IT@UC) and works with the university's distributed information technology organizations to achieve an optimal balance of both enterprise and customized technologies and services that support the academic, research and operational priorities of the university and plans for the future. Responsibilities include the design, delivery and planning for eLearning and research technologies, enterprise applications systems and services, networking and telecommunications, information security, data center

operations, and user support and outreach. Please refer to the University-wide IT Governance (five topical committees that report to an IT Council) and includes student, faculty and staff representatives, and feeds directly into the university's Integrated Decision-Making Process described in 5.B.2 above, and university leadership.

IT@UC's \$40-million-dollar budget includes priority investments to support programs for university-wide eLearning and federal accessibility compliance priorities (e.g. continued adoption of the tools and resources in the Canopy eLearning ecosystem and establishing and sustaining the accessibility of the websites and learning management systems operated by the university). Canopy is UC's eLearning ecosystem and community for all those interested in excelling at eLearning. In addition to the ecosystem tools, it includes faculty and staff development resources and pedagogical strategies. Supporting Canopy, the eLearning community at UC comprises faculty and staff across the university, including a Distance Learning Team, a Learning Support Team, an Analytics Team, and a central team within the newly formed Center for Excellence in eLearning.

The university Architect's office oversees the campus physical plant and green spaces and they are continuously engaged in ongoing dialog with the colleges to ensure current and future student learning needs are met through modern and appropriate learning spaces. During 2017-2018 the Architect's office embarked upon a listening tour with each of the colleges identifying their future needs.

The University of Cincinnati invested over \$50 Million in building Catalyst, a new student information system that went live the summer of 2016. Catalyst is the University of Cincinnati's new student portal, changing the way students take care of student-related services, from class registration, to running degree audits, to viewing and paying bills and applying for (and checking on the status of) financial aid. The system is open for student and faculty business 24/7 and surrounding resources include an extensive knowledge base and dedicated training resources. UC is committed to building out and updating the system capacity annually.

UC is investing in app technology and tools to provide services when and

how students want them. UC first began using an orientation app for students three years ago, and now over 100,000 individual logins were noted in fall 2017 for our Bearcat Guide orientation app. UC is also using data analytics to enhance student success, utilizing such tools as Starfish Early Alert.

The university is also embarking on a major assessment project in partnership with the Education Advisory Board (EAB), with their Academic Performance Solutions. This is an integrated institutional dashboard that combines data from our student information system, our human resources data and our finance data. The resulting data visualizations are focused on optimizing institutional resources to assure student success. Areas of focus include removing curricular bottlenecks, ensuring curricular efficiency by collapsing lower enrollment classes, and equipping the colleges, deans, associate deans and unit heads with the data to make appropriate curricula and staffing management decisions at the unit level.

Demographic shifts

UC staff annually review Western Interstate (WICHE) demographic trends through their Open Doors Report. The Midwest is one of the regions projecting slow steady declines of college-age students over the next two decades. This report notes that UC's primary market of Ohio is showing one of steepest enrollment declines. Due to these demographic shifts and to provide a broader set of diversification in our applicant pool, UC has increased its international recruiting efforts and has also placed regional recruiting representatives in Atlanta, Virginia/Maryland, Dallas and Chicago. These actions are bearing fruit and allowing UC to continue its upward enrollment growth trajectory.

Cincinnati Online

The University of Cincinnati was an early leader in online learning, assuring access to quality educational programs from the early beginning days of online degree programs. As our online learning portfolio has matured, the University of Cincinnati has begun to move away from third party providers (such as Pearson), and has created a Cincinnati Online portal.

Cincinnati Online provides high-quality, in-demand academic programs

taught by world-class faculty in an innovative, engaging and convenient online environment to people around the globe. Cincinnati Online aims to be the premier higher education provider of innovative online degree programs that meet the changing needs of the world's population and evolving job market, position our students to solve real-world problems, and transform the communities of our future.

Cincinnati Online is part of our strategic direction, and it is anticipated that this will positively impact our campus physical learning environment as the differences between online and face-to-face instruction become increasingly blurred. Although this internal structure is in its nascent stages, our distance enrollments are burgeoning. As the Online Dashboard shows, from 2011-2015, our average rate for the last five years in online programs has increased 9.7% annually, while our online course enrollment during that same timeframe has increased an average of 10.9% annually. The university views the accessibility, profile and quality of our online programs as a key area of strategic investment moving forward.

UC International

UC International focuses on strategies to raise UC awareness internationally and to be more deliberative about the use of our financial and human resources through the development of strategic partnerships. In so doing, we have increased international enrollment, provided UC students more opportunity to study abroad, facilitated research and scholarly exchange, and raised awareness of UC in the process. We plan for the future by: forming seven world region advisory groups comprising faculty from across the academy (who have knowledge of the region either by virtue of origin or by research/scholarship area) to help direct us to optimal partner relationships based on similarities such as ranking, size, diversity, interest, and enthusiasm prioritizing the award of faculty development and mentoring grants to enhance our growing strategic partner relationships awarding more study abroad scholarship dollars to students attending strategic partners than to those going elsewhere sending and receiving small (3-4 member) delegations on site visits for first-hand experience of prospective strategic partners. Engaging in visiting scholar exchanges with strategic partner institutions.

Between 2013-2017 we have almost doubled our international scholarship allocation, and for fall of 2017, 22.4% of our graduate students were international students, and 3.7% of our undergraduate students were international students. Last year, over 1600 University of Cincinnati students studied abroad, more than ever before. Our steady increases in our international student population here in Cincinnati as well as the growth in our students studying abroad combine to position the University of Cincinnati as a global educational leader moving forward.

Sources

- <http://www.uc.edu/presidential-search/news.html>
- <http://www.uc.edu/news/NR.aspx?id=21197>

5.D. – Core Component

The institution works systematically to improve its performance.

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

Argument

5.D.1.

Prompt: *The institution develops and documents evidence of performance in its operations.*

Response: The University of Cincinnati routinely evaluates its performance across a spectrum of activities. It assesses those evaluations, and takes actions as necessary to promote the ongoing excellence of the institution. The Office of Institutional Research coordinates many of the federal and state reporting requirements, institutional wide assessment of key metrics and scorecards, as well as ad-hoc reports and analysis to executive management at the University and College level to assist in informed decision-making at the University of Cincinnati. The Office of Research also uses the data visualization tool of Tableau to create institutional dashboards that are made available to key decision makers across the university, and for our Student Fact Book.

Additionally, the Educational Advisory Board project mentioned above in section 5.C.5 is an important aspect of assuring stakeholders at every level of the institution have access to the data they need to make informed decisions that maximize the success of our students.

During the past few years, the Efficiency Council (EC), has been charged with exploring opportunities for increasing efficiencies and effectiveness in UC's support operations and making recommendations about prioritizing and implementing those opportunities with the goal of improving operations and processes to create added value and reduce cost. As this report is being written - February of 2018, the EC is currently on hiatus as university

leadership review and plan for implementation of the Huron Efficiency report, to assure that efficiency efforts are appropriately prioritized and consistent with President Pinto's Strategic Direction.

Other efficiency efforts are also ongoing at the University as reported in annual State Efficiency Reports, which are submitted to ODHE after being approved by the Board of Trustees. The 2017 Efficiency Report is evidence of our ongoing efforts to reinvest monies harnessed from increasing institutional efficiencies into student support.

Opportunities for increased efficiencies and cost savings may be found in procurement, administration and facilities and academic support. The Council and the Huron Report have identified common symptoms of inefficiency such as fragmentation, redundancy, lack of standardization, unneeded hierarchy, and lack of automation evident in UC's administrative and academic support practices and processes. Actions to improve efficiencies could include enhanced spend management, consolidating operations, shared services, improving processes, strengthening controls, and outsourcing where appropriate.

In addition to overall institutional planning and evaluation, UC applies these data for improvement in its various components of the institution's operations. Prominent illustrations of these activities include rigorous and routine college-level and support unit-level strategic planning (see Section 5.C). To promote accountability, deans', directors and department heads annual reviews are based, in part, on progress toward accomplishing their unit's strategic goals. Tools such as the EAB platform and the institutional dashboards (mentioned above in 5.C.5 and 5.D.1) assist the institution in maintaining accountability and fostering high performance.

Coordinated planning among senior academic, research, physical, and resource staff also help the institution make informed decisions. Planning for physical facilities, for example, employs the use of both qualitative and quantitative methods. Qualitative data include surveys and focus groups of faculty, staff and students and observations. Quantitative tools include three dimensional campus models, a Geographic Information System (GIS) for tracking assets such as Utilities and Facilities Management and Public

Safety assets, among others. In addition, UC updates all buildings physical and functional conditions as part of our annual State facilities reporting. Reports updated regularly are noted in 5A1 and provide third party verification for improvement areas.

Our facilities are regularly assessed and benchmarked utilizing Sightlines, a platform that provides for strategic, data-driven decisions for facilities. Sightlines provides our institutional leadership reliable data and objective analysis, gives us the tools to unify discussions around space, operations, and capital, thus bridging the communication gap between facilities and finance. Sightlines' solutions have become a central component of our building lifecycle.

Sightlines consultants collect our institutional data and assess our systems and spaces. Our data is then analyzed and compared to institutional peers. The result is holistic, objective knowledge that provides our institutional leadership the framework to balance operational goals, capital projects, and deferred maintenance. This annual engagement assists UC in creating effective and proactive facilities strategies.

Outcomes assessment (see 4B), as strategy to improve student learning, results in targeted evaluations of learning and subsequent modifications in pedagogy and content to improve that learning. The university also monitors retention, persistence, and completion data and takes actions to ensure student success (see 4C). To assist university units in measuring progress through their self-identified goals, and in assessing and improving operations, IR routinely provides them with data as well as assistance in developing metrics that are unit-appropriate through its annual Tableau dashboards and on demand reports.

Together, these practices demonstrate UC is a learning institution, committed to the regular review of processes and personnel, and taking steps to improve its effectiveness based on these analyses.

5.D.2.

Prompt: The institution learns from its operational experience and applies that learning to improve its institutional

effectiveness, capabilities, and sustainability, overall and in its component parts.

Response: The university engages in a system of annual reviews, reports, budgeting sessions, and benchmarking to review the impact, efficiency and sustainability of its individual programs and operations in the spirit of continuous improvement. In particular, the institution charged the Efficiency Council (EC) with exploring opportunities for increasing efficiencies and effectiveness in UC's support operations and making recommendations about prioritizing and implementing those opportunities with the goal of improving operations and processes to create added value and reduce cost.

Opportunities for increased efficiencies and cost savings were found in procurement, administration and facilities and academic support. As noted in 5.D.1, The Council identified and examined common symptoms of inefficiency such as fragmentation, redundancy, lack of standardization, unneeded hierarchy, and lack of automation evident in UC's administrative and academic support practices and processes. Actions to improve efficiencies included enhanced spend management, consolidating operations, shared services, improving processes, strengthening controls, and outsourcing where appropriate.

In addition, and as noted above in 5.C.5, the university contracts with the Educational Advisory Board (EAB) on matters related to the efficiency and effectiveness of enrollment management, information technology, and student affairs. University of Cincinnati learns from its operational experience to improve its institutional effectiveness is by partnering with EAB's Academic Performance Solutions (APS). APS empowers multiple levels of UC's academic leadership including the Office of the Provost, deans, associate deans, department chairs, and business analysts to assess how well they are using existing academic resources. Through a series of structured analytics, UC leaders can effectively answer important questions such as how to optimize section offerings that satisfy student demand and maximize available instructional resources. Additionally, APS allows UC's academic leadership to compare their performance against peer institutions through department-level benchmarks in areas such as section size and

course completion rate.

The data APS provides is further supported by UC's partnership with EAB's best practice research forums. These forums provide UC with new ideas for shifting current practices on campus in ways that have shown positive results at other institutions. Taken holistically, UC's partnership with EAB provides UC with analytics to evaluate its own effectiveness in utilizing academic resources, in addition to real life, practical solutions to issues the data uncovers. The attached PDF provides one way in which UC looks at its own data to identify areas of improvement.

Sources

S - Criterion 5 – Summary

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

Summary

Sources