

CRITERION 5

RESOURCES, PLANNING & INSTITUTIONAL EFFECTIVENESS

What we seek to demonstrate: That Wooster's resources, structures, and processes are sufficient to fulfill our mission, improve the quality of our educational offerings, and respond to future challenges and opportunities. Wooster plans for its future.

Our Related Core Values

- Independence of Thought
- Social and Intellectual Responsibility

Our Related Strategic Objectives:

- 2: We will strengthen the foundation of our College
- 3: We will sustain our momentum

Assumed Practices: The evidence gathered to date suggest that the College meets all expectations.

1. The institution is able to meet its current financial obligations. (Laurie S)	
The College's financial statement ratios prove, year after year, the stability and strength of the College's overall financial position. In preparation for the issuance of the Series 2012 Bonds in May of 2012, Moody's financial analysis allowed a continuance of the College's A1 rating with a stable outlook.	Supporting Analyses, Data, Documents <ul style="list-style-type: none">• HLC's KPMG Financial Index (multi-year, from HLC)• Audited financial statements• Credit reports• Operating Ratios
2. The institution has a prepared budget for the current year and the capacity to compare it with budgets and actual results of previous years.	
The College's budget model provides both an executive summary and line item detail of the budget for the current year, revised budget (if applicable) and projection to fiscal year end. It also includes two prior years' budget and actual, three additional years actual results, and five years projected budgets.	Supporting Analyses, Data, Documents <ul style="list-style-type: none">• Budget model reports• Periodic budget reports (ex: to the Board)• Departmental budget reports

3. The institution has future financial projections addressing its long-term financial sustainability.	
Budgeting and financial planning are supported by a multi-year strategic financial plan and multi-year budget model.	Supporting Analyses, Data, Documents <ul style="list-style-type: none"> • Budget model with description of assumptions • Strategic financial plan

4. The institution maintains effective systems for collecting, analyzing, and using institutional information.	
<ul style="list-style-type: none"> • In 2005, the College commenced the implementation of Datatel Colleague to replace a legacy student/operational information system. The implementation was complete in Winter 2009. With adopting Colleague, the College established it as the “system of record.” With the exception of Admissions, all operational divisions utilize Colleague (Admissions will return to Colleague in late spring 2013). As with any institutional information system implementation, some elements went well, others less well; some areas adopted the software readily; others had greater difficulty in part because of training, in part because they were not a “central” module in the system. IT staff faced the challenge of learning new software, which had a major upgrade midstream, while maintaining the legacy and other systems. It was not until late 2009 that IT staff could “circle back” with departments and review how departments and users were doing with Colleague, assist them in using more of the system’s functionality, and understanding how what they did impacted other areas and vice versa. • As with any integrated institutional information system, the ability to report – easily – from the applications and database is key to effective and strategic use. At the time Wooster adopted Colleague, Datatel was promoting various reporting tools, ranging from the most simplistic to a complex SAP business intelligence system. Some users adopted a tool easily, others were perplexed, and the multiple tools and complexity of the SAP product added to the support demands on IT staff. Rare was the user who could develop his or her own reports. The inability to get information out of the system easily had obvious collateral impact on the use of information in areas across the College. • In 2010, the College acquired Entrinsik Informer, a third party reporting tool 	Supporting Analyses, Data, Documents <ul style="list-style-type: none"> • Institutional Information System (Datatel) • Benchmarking reports • Dashboard

intended for smaller colleges which seek to empower users to create and run their own reports. IT staff immediately took to Informer, using it as the “reporting tool of choice” and creating reports and report templates for users that did not require users to seek IT assistance when a report needed to be run. At this point in time, several users have been trained and mentored in the user of Informer, and are now creating their own reports. We anticipate eliminating need for the SAP reporting tool, leaving the College with one standard, easily supported, and affordable reporting tool.

- At the time of the Colleague implementation, the College’s model of institutional research was, as pertains to institutional assessment and planning, a relatively passive model. Institutional Research would compile information it received from departments that was needed for submitting required surveys, guidebook queries, and preparing an annual “Fact Book.” The director was not a user of the student information system, nor was integral in the Colleague implementation. The director left Wooster in fall 2007, and the position remained open until summer 2008 when it was re-imagined as a senior position with responsibility for institutional planning and strategy, as well as building capacity for institutional assessment using the newly implemented Colleague system.
- Since summer 2008, institutional information has focused on “benchmarking, “trends” (both internally and compared to peers), and assessment of Wooster’s progress towards its strategic objectives. During 2011-12, College leadership developed an institutional “dashboard,” and while useful, we have found it to be too complex, detailed, and inclusive of “metrics” that may prove elusive to measure. The “dashboard” is under revision in 2012-13 as part of the refresh of the Strategic Framework. The College’s “Fact Book” was put on hiatus until 2012 when it is being replaced with an on line “benchmarks book”. In the interim, outtakes from the emerging benchmark book were used in campus reporting, assessment of progress on strategic initiatives, and in analyzing Wooster’s competitive performance, It is important to note that the benchmarking data being provided to the campus began to create an insatiable demand for more, including in campus governance committees and at the individual

department and program level. This demand made it even more critical that we empowered users to be able to query and report on their information in Colleague.	
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5. The institution undergoes an external audit by a certified public accountant or a public audit agency of its own financial and educational activities and maintains audited financial statements. For private institutions the audit is annual; for public institutions it is at least every two years.

The College’s financial statements are audited annually by an independent auditor, who also reviews the College’s A-133 report and Form 990.	Supporting Analyses, Data, Documents <ul style="list-style-type: none"> • Audited financial statements (we have) • Management letters (we need) • IPEDS Financial Reports (or in Compliance section?) • Audit Committee Charter
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6. The institution’s administrative structure includes a chief executive officer, chief financial officer, and chief academic officer (titles may vary) with appropriate credentials and experience and sufficient focus on the institution to ensure appropriate leadership and oversight.

<ul style="list-style-type: none"> • a chief executive with the combination of academic background, professional training, and/or other qualities appropriate to an institution of higher education and the institution’s mission • administrative leaders with appropriate skills, degrees and training to carry out their responsibilities and functions; 	
Officers of the College (explain “officers” in Board terms) <ul style="list-style-type: none"> • Grant Cornwell, president of the College, served as [insert St L title here] prior to joining wooster in summer 2007. His background.... • Ellen Falduto • Scott Friedhoff... • Kurt Holmes • Laurie Houck • Carolyn Newton, provost, arrived at Wooster in summer 2010. [background....} • Laurie Stickelmaier 	Supporting Analyses, Data, Documents <ul style="list-style-type: none"> • Organizational chart (we have) • Senior Officer credentials (vita/resumes)

Core Components:

[5.A.] 5.A. The institution's resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future.

Also consider:

- Does the institution have the financial flexibility to weather unexpected changes in its environment (enrollment declines, stock market declines, etc.)?

What they'll be looking for:

RESOURCE BASE

1. Finances

- What is the institution's overall financial condition?
- In what aspects did the institution's financial condition improve, worsen, or remain unchanged over the past five years?
- Does the institution have the financial flexibility to weather unexpected changes in its environment (enrollment declines, stock market declines, etc.)?
- Do the assumptions for enrollment and finance projections appear to be realistic?
- What has been the change in expendable net assets or adjusted equity?
- What conclusions can be drawn from the analysis of the institution's long-term debt, and what impact will this have on the institution's financial condition?
- Do the notes to the audited financial statements identify anything unusual or of concern? Consider especially any notes that reference commitments or contingencies.
- Do the management letters identify any issues regarding internal financial operations or procedures?

2. Enrollment

- review of the enrollment management plan for recruitment, retention, marketing, and advertising;

3. Voluntary Support

- review of institutional fund raising and grant activities

4. Endowment

review of plans and policies for endowment management to ensure consistency with the institution's financial resources, goals, and objectives and summaries of endowment performance [need performance analysis; break down by purpose] LS -Can get this from audit workpapers

5. Auxiliary Operations

6. Human Resources

- an allocation approach that ensures adequate faculty, staff, and administration to support the institution's mission and outcomes expectations Should the position approval process be noted here? It is described on page 14 as well.

7. Facilities

- a comprehensive infrastructure or facilities master plan and facilities/infrastructure life-cycle management plan, as appropriate to mission, and evidence of implementation

8. Technology

- an educational and other equipment acquisition and replacement process and plan, including provision for current and future technology, as appropriate to the educational programs and support services, and evidence of implementation

MISSION & RESOURCES

1. Staff qualifications

- faculty and other professionals appropriately prepared and qualified for the positions they hold, with roles and responsibilities clearly defined
- assessment of policies and procedures to ensure the use of qualified professionals to support the institution's programs
- evidence of dissemination of evaluation procedures and criteria
- analysis of institutional practices for the appointment, supervision, and review of personnel
- assessments of employee attitudes and satisfaction, personnel development programs and of policies and procedures that ensure that qualified professionals advance the institution's instructional, research, and service program goals, with recommendations for improvement, as appropriate.

2. Budget Process & Monitoring

- strategies to measure and assess the level of, and efficient utilization of, institutional resources required to support the institution's mission and goals;

- rational and consistent policies and procedures in place to determine allocation of assets;
- a financial planning and budgeting process aligned with the institution's mission, goals, and plan that provides for an annual budget and multi-year budget projections, both institution-wide and among departments; utilizes planning and assessment documents; and addresses resource acquisition and allocation for the institution and any subsidiary, affiliated, or contracted educational organizations as well as for institutional systems as appropriate;
- review of resource allocation procedures and their relationship to planning, mission, goals, and objectives

Working Group Approach:

During the 2011-12 academic year, working group members met with Laurie Stickelmaier (VPFB), Laurie Houck (VP Development and Alumni Relations), Peggy DeBartolo (Controller), members of the Board of Trustees who serve on the Executive, Finance, and Investment Committees, and the Financial Advisory Committee (FAC) of the Faculty to collect and analyze evidence that pertained to the criteria. John Sell, working group member and Director of College Investment, prepared the preliminary draft of the working group's findings. Laurie Stickelmaier, Laurie Houck, Melanie Young, John Sell, and Ellen Falduto provided additional information that has been incorporated into this draft.

Findings- Summary:

Fiscal Resources:

- Our asset base is strong: evidence of this includes our balance sheet ratios, Moody's reaffirmation of our A1 rating with a stable outlook, and the liquidity of our endowment.
- Our annual operating budget is consistently "break even," and more than 2/3rds of operating revenue comes from net tuition and fees. We should investigate greater diversification of our revenue resources.

Endowment

- While our endowment values have improved since 2009, they have not returned to 2008 peak-levels. A recently adopted asset allocation policy is designed to meet target endowment draw and (at least) the Higher Education Price Index.

Advancement/Voluntary Support

- Additional resourcing of our Advancement function is anticipated to increase voluntary support in annual, major gifts, sponsored programs and foundation giving, and planned giving. (Update: A Director of Sponsored Research and Foundation Relations (a new position) joined the Office of Development & Alumni Relations staff on 8/13/12. The search for a Director of Planned Giving (also new position) is still in progress as of 8/12. The Office also hired a Manager of Advancement Research and Analysis (expanded responsibilities for existing position) earlier this summer, as well as an Assistant Director of Development for Alumni & Parents.

(There is another position – I believe – in the Wooster Fund area that may still be in “search” mode. If you need this information, I will find out title and status.) also the change in leadership, vision and standard setting attributable to Laurie Houck that will help increase voluntary support.

Budget process & budget planning

- The continued refinement of a multi-year budget model has enabled us to meet or exceed our budget forecasts.
- Our financial management practices include short-term and long-term budgeting: its emerging Five Year Financial Plan for Strategic Initiatives engages the Board, President, Cabinet, and Financial Advisory Committee in a process that is designed to inform annual budgets that are realistic in terms of personnel, programmatic, and capital costs while reflecting our strategic priorities. The Annual Budget Process includes a timetable that allows sufficient time for reflection on budget assumptions and prioritization of budget requests in line with our strategic initiatives.

Auxiliary Operations

- Reviews of auxiliary operations during the 2008 economic downturn resulted in changes in structures in order to improve profitability and self-sufficiency.
- The Wooster Technology Group was established to formalize our Intellectual Property Policy and oversee patents, licensing, and royalty arrangements.
- ...

Human Resources

- Faculty and staff salary competitiveness initiatives result in a teaching faculty with low turnover and the ability to hire “first choice” faculty candidates. Also “first choice” staff candidates, particularly in critical leadership positions / functions.

Facilities Resources

- Continued commitment to campus stewardship as evidenced in annual budget funding for repairs, maintenance, and capital projects and sustainability initiatives that have improved both facilities and infrastructure while reducing energy and operating costs.
- A Campus Facilities Master Plan that has been discussed widely on campus as a means of prioritizing physical resource initiatives with respect to our mission was adopted by the Board in June 2012.
- Several significant capital investments have been made to improve campus facilities in support of our educational mission.

Findings (detailed):

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.

FISCAL RESOURCES (Laurie S.)

- The College's financial statement ratios prove, year after year, the stability and strength of the College's overall financial position. In preparation for the issuance of the Series 2012 Bonds in May of 2012, Moody's financial analysis allowed a continuance of the College's A1 rating with a stable outlook.
- The Composite Financial Index calculated from the College's audited financial data submitted in the Annual Institutional Data Update (AIDU) was 3.0 for each of FY2010 and FY2011, improving from 2.2 in FY2008 and FY2009 **(need to calculate FY12)**
- Previous to FY 2009, the College's operating expenses exceeded its operating revenues on a regular basis. The FY 2008 ended with an operating ratio of -9.9%. Projections for the next years called for even greater deficits, compounded by the economic downturn. During FY 2009, contingency planning began and plans were put in place for 2010 that eliminated the deficit spending. Under the careful budgeting process in place at the College today, all of its operating resources are dedicated to moving forward on strategic initiatives as outlined in the Strategic Framework. The approved budgets for the years 2010 through 2013 have each had small surpluses and the goal for a balanced budget has been achieved each year. The 5-Year Financial Budget Model, based on realistic parameters and strategic reallocations when necessary, projects balanced budgets into the future.
- Ratios support that allocation of resources primarily to core mission and academic support functions occurs annually. In 2011, the core and education support ratios (all expenses except institutional support and auxiliary) combined totaled 82% as compared to the GLCA median of 78.3%. The College allocated 17.3% of its operating resources to institutional expenses, where the GLCA schools allocation median was 19.1%.

Supporting Analyses, Data, Documents

External Reviews

- Moody's/credit reports
- Moody's key ratios, including multi-year trend
- Audited financial statements (we have) & management letters
- HLC's KPMG Financial Index (multi-year, from HLC)

Internal Data & Reviews

- Operating Ratios
- Internal financial ratios, multi year trend and peer benchmarking with commentary

- The College's Board has taken a traditionally very conservative approach to debt and to investing. This has led to strong debt related balance sheet ratios and smaller debt service payments allowing greater allocation of resources to other needs. There is some discussion as to whether, at a time of very low interest rates, using debt capacity to further strategic initiatives is an option. The College used its additional capacity for the Series 2012 debt used in the debt-refunding/power plant conversion/energy savings strategy and did not have additional capacity as of the time of the construction of the 2012-13 budget. Growth of the endowment as a result of the campaign is expected to increase that capacity through increases in the endowment allocation to the operating budget allowing increased debt service.
- The conservative approach to investments has protected the College's endowment on the downside of the market but slows its recovery on the upside. The College's recovery from the 2009 crash has not compared as well as desired with many of its peer institutions. While Wooster's FY2009 total return was -14.2% compared to a median of -21.2% for GLCA, the College's total returns of 10.1% (FY2010) and 14.0% (FY2011) lagged the median for the GLCA, which were 12.1% and 20.6% for FY2010 and FY2011, respectively. For the period For the period FY2002-2011, Wooster's average total return was 5.3% for the period, compared to a median of 6.6% for the GLCA, and average of 7.4% for the Ohio 5 (Denison, Kenyon, Oberlin, Ohio Wesleyan). Changes have been made to the endowments asset allocation to address this, and the College is currently conducting a search for an Investment Consultant.
- The College's balance sheet continues to be very strong as compared to all of our GLCA peers. For example, the amount of potentially expendable funds that the College has available to cover long-term debt in an exigent situation at the end of FY2011 were 11.3 times the amount of debt as compared to the GLCA median of 3.4 times debt. The continued growth of College revenue continued to improve the amount of long-term debt in proportion to total revenue to 34.6% in FY2011, a comparatively light burden. This very healthy ratio continued to outshine the GLCA median of 77.8%. In addition, the recent credit evaluation of the College by Moody's singled out the College's, "healthy liquidity profile" as a significant strength noting unrestricted monthly liquidity of \$110.6 million.
- Because of its small surpluses and closely balanced annual operating budgets, the College's operating results are not a major contributor to its net asset growth. Net assets decreased

slightly in FY2008 and FY2009 and increased approximately \$26 million in both FY2010 and FY2011, mainly as a result of investment market activity.

OPERATING REVENUES ANALYSIS

Need: description of composition of our resource base & how it has changed over time (e.g., resource pie) LS-Do NOT use financial statements for this unless you are clear that you are showing **more** than unrestricted, operational and budgeted resources.

While confidence in the stability of first- year enrollments has increased in the past 3 years, the College’s overall reliance on student-driven revenues (net tuition, residence hall rent, dining hall, bookstore and other revenues) has increased since FY2007 from 69.5% to 75.1% of total revenues. This is due partly to increases in pricing but also to increases in auxiliary margins. Meanwhile, the contributions to the operating budget from **The Wooster Fund** and the endowment draw are flat, and non-endowment investment income is down from \$1.6 million to \$300 thousand as a result of lower interest rates, compared to 2007.

The College’s tuition rate for 2012-13 is slightly below the median of the GLCA and the lowest of the Ohio5. While the discount rates for the first-year classes of GLCA and Ohio5 institutions have risen over the past 2 years, Wooster’s have stabilized. The stable state added to positive enrollment results has increased net tuition overall. Tuition dependency remains stable at 43.8% as compared to the GLCA median of 43.6% for 2011.

Our FTE enrollment has been steady or rising since 2002 and the areas from which we attract students are increasingly diversified. Marketing and recruitment initiatives have increased applications and improved selectivity, which is expected to put downward pressure on tuition discounting.

Supporting Analyses, Data, Documents

- FTE enrollment trend
- Contiguous states analysis
- Enrollment plan & projections
- Tuition rate trends
- Financial aid trends
- Net tuition per student trends
- Student-based revenue as % of total revenues
- Revenue “pie” trend (stacked bar chart)

VOLUNTARY SUPPORT (Laurie H)

- VSE reports do not show us in good light compared to other GLCA schools but can certainly include anyway. **Top of mind script** (e.g., so rough draft that anyone can change it

Supporting Analyses, Data, Documents

- Washburn report

however they wish)...and not sure how much the history/context setting is helpful, so edit out if not necessary.

- The College of Wooster has been actively engaging its alumni and friends in fundraising and activities since the 1960s. The College has a tradition of long tenures for Vice Presidents for Development, creating an effective culture for voluntary support -- backed by great personal knowledge -- of "personal," "donor-centered," and "consistent."
- The result is successive years of increasing gift revenue and three successful comprehensive campaigns and one single-initiative campaign. With a lean office, the development function has had an exceptional return on investment [use GLCA staffing study data here]
- The staff leadership now turns its attention to the next generation of donors and has installed plans to increase unrestricted revenue (which has remained flat for five years), expand the base of donors, and implement a campaign.
- Annual gift totals reflect campaign activity and peak earning years.

- Advancement benchmarking (CAE VSE)
- Advancement strategic plan
- GLCA Staffing study metrics

ENDOWMENT (John S)

Endowment Breakdown by Purpose
e.g., tree endowment, professorships, etc.

LS-we currently are able to breakdown by general purposes: library, professorships, scholarships, etc. If you want a more unique breakdown, give us the parameters and we will do our best to give you what you need

Performance:
(JWS report for Moody's)

- The conservative approach to investments has protected the College's endowment on the downside of the market but slows its recovery on the upside. The College's recovery from the 2009 crash has not compared as well as desired with many of its peer institutions. While Wooster's FY2009 total return was -14.2% compared to a median of -21.2% for GLCA, the College's total returns of 10.1% (FY2010) and 14.0% (FY2011) lagged the median for the GLCA, which were 12.1% and 20.6% for FY2010 and FY2011, respectively. For the period For the period FY2002-2011, Wooster's average total return was 5.3% for the period, compared to a median of 6.6% for the GLCA, and average of 7.4% for the Ohio 5 (Denison, Kenyon, Oberlin, Ohio Wesleyan). Changes have been made to the endowments asset allocation to address this, and the College is currently conducting a search for an Investment Consultant.

Policy:

The spending policy in place for 2010-11 was an amount equal to the prior-year payout amount, increased by the prior-year rate of inflation plus 1%, subject to the following corridor policy amounts:

- a. The minimum payout shall be 4% of the trailing twelve-quarter moving average endowment market value; and
- b. The maximum payout shall be 6% of the trailing twelve-quarter moving average endowment market value.

The percentage payout rate in fiscal year 2010-11, based on the 12-quarter trailing average was

Supporting Analyses, Data, Documents

- Multi-year endowment MV (w/GLCA)
- Multi-year endowment MV/student (w/GLCA)
- Multi-year endowment performance (w/GLCA)
- Asset allocation policy
- Endowment spending policy
- Endowment performance & benchmarking report (JWS for Moody's)
- Endowment designation by purpose

5.71% and was within the corridor of 4% to 6%. The payout rate for fiscal year 2011-12 is 5.79%, above the 5% target preferred by the College's Board of Trustees. Given multi-year volatile stock market performance, it will take several more years before the endowment increases enough to drive the percentage payout rate down to 5%. At the end of FY2011, the endowment would have needed to rise to about \$280 million or approximately 15% to reach that target.

Based on the above, at its June 2012 meeting, the Board reviewed the then "inflation plus 1%" requirement of Phase II of the Endowment Spending Policy which would permit the endowment draw to rise somewhat but with the unlikely result that the percentage payout rate would decline below 5% over time. In preparing the next year's fiscal budget, the initial estimate of the endowment draw as is equal to the previous year's endowment draw plus 1%. The same methodology is applied to the five-year planning model. The Board adopted a new spending policy that determines the endowment payout percentage rate annually by adopting the current budget approach of the previous year's endowment draw in dollars plus 1% as a constraint to keep the endowment draw from exceeding its upper 6% payout percentage rate bound and to reduce the draw closer to 5%. The new policy is in effect until 2016 or until the draw reaches 5%.

AUXILIARY OPERATIONS (Laurie & John S)

Reviews of auxiliary operations during the 2008 economic downturn resulted in changes in structures in order to improve profitability and self-sufficiency. The Wooster Inn expenses were exceeding revenues by about \$250 thousand annually. The Inn has been operating independently since 2011, greatly improving the College's available resources. The Ohio Light Opera (OLO) is a lyric opera program managed by the College for the past 30 years. It too was experiencing losses and discussions took place about making the company independent. It was determined that OLO would not be able to manage financially on its own without College administrative support and the economic support that the company's summer season provides the Wooster and Wayne County community were reasons to allow OLO to remain a College entity. OLO, on the other hand, must be more fiscally austere and maintain a balanced budget. Thus far, OLO has dropped their deficit from 2009's \$200 thousand to \$35 thousand in 2011.

While the other auxiliary operations were not losing money, their operations were also targeted for improved margins. The bookstore has reduced staff by 2 fte and has been working to improve

Supporting Analyses, Data, Documents

- Contingency planning decisions
- Agreements with OLO, Wooster Inn, golf course operation guidelines, ...
- Wooster Technology Group charge, activities, periodic reports to the Board
- Auxiliary margins analysis (to support commentary here)

its inventory turnover rate. Dining Services has improved its margin with increased efficiencies. Dining Services has taken responsibility for camps and conferences and will improve processes there. Improved business practices helped the overall auxiliary income margin increase from 13.3% to 17.7% in 2011. LS- See comment on inclusion of increasing auxiliary margins as a priority

HUMAN RESOURCES (Laurie)

Faculty & Staff Composition

Employees as of Fall 2011 (need to update)
GLCA Staffing study

Faculty & Staff Compensation:

Faculty Salary Policy Initiative:

Staff Market-based Salary Project:

Sibson Consulting performed a benchmarking study of all employee positions at the College in the winter of 2011. The survey salary information gathered from the Staff Salary/Wage Study benchmarking was used to inform the creation of the exempt and non-exempt staff salary guidelines, which provides a guide under which Wooster administers salaries and wages in an appropriate and equitable manner. These guidelines and other information informed by the study are found in the manual, *The College of Wooster's Exempt and Non-Exempt Staff Wage and Salary Program Salary Administration Guidelines - October 2011*.

The College's salary philosophy states that the staff salary program will consider both external competitiveness and internal equity (e.g., benchmark analysis of salaries and jobs will inform decision making within the context of the College's priorities) and that the program will use competitive benchmark data (i.e., from the appropriate benchmark group) as a reference for

Supporting Analyses, Data, Documents

- Position Request and Approval Forms
- PRC Notes and Minutes
- GLCA Benefits Analysis
- Sibson Staffing Study
- HR Compensation Plan
- Faculty Salary Benchmarking
- Staff salary benchmarking & Staff salary distribution within benchmark salary ranges
- Faculty Salary "policy" (TS&T & FAC documents, Grant's charge to both)
- Student:Faculty ratio
- GLCA Staffing Study
- IPEDS HR Analysis (employee composition)

creating the salary guidelines and salary ranges.

To that end, working with Sibson Consulting a market-based blended salary program was created. The program has relatively broad, differentiated salary/wage ranges for staff and slots positions into the program based on relative value to the benchmark positions in each salary band. The Interim Director of Human Resources worked to fine tune the process, policies and procedures. There was a portion of the 2011 and 2012 raise pools allocated for market salary and wage adjustments for a small number of employees; bringing all to at least the minimum of the market scale. **Approximately 100% are at the minimum (per MY). [return to this - not all staff are at the minimum - EFF]** There are 2-3 positions still below, but those are purposeful due to idiosyncratic situations. Also, would it be helpful to mention the presentations about the new program and/or include a copy of the presentation used?

Benefits

The GLCA benefits study reviewed in spring 2012 substantiated the generosity of the College's benefits. In almost all categories from pension contribution to faculty leaves, Wooster was in the top third of the GLCA, many times in first place in value.

The Sibson health plan study lead to a revision of the College's plan that improved benefits and, through a negotiated, significant increase in discounts from network providers, allowed savings to be split between the College and the enrollees. Premiums for enrollees were reduced and the savings for the College were reallocated to other programs and expenses through the annual budget process. LS_ \$500,000

The TIAA benefit was changed to allow new staff employees hired with a previous account with TIAA-CREF to continue their benefit at the College immediately at a rate of 8% plus the 2% match and reduced the wait for those without an account from two years to one year. These benefits changes have made benefits more attractive for attracting new qualified staff.

The Staff Salary/Wage project required job descriptions for all staff positions and the job descriptions define the required qualifications, roles and responsibilities. Benchmarking for market salaries and wages with the GLCA, CUPA and other groups also occurred as part of the

study. Benchmarking with the GLCA for staff size is also performed periodically.

Human Resource Allocation (non-faculty positions)

When a position becomes vacant, there are documented procedures that must be followed in order to fill the position. Positions may be filled through transfer, promotion or from external sources. The proper documentation must be filed and reviewed; the position analyzed for market value and budget impact and approved by Human Resources and the VPFB. There are reference checks and background checks are performed for most staff positions. Suggested wording: “reference checks are conducted routinely during the hiring process and background checks are performed on positions with access to students or large sums of cash. Drug testing is also performed for those positions with access to hazardous or dangerous materials.”

The PRC approach and the budget process assure that the allocation of resources is appropriate.

FACILITIES RESOURCES (Laurie)

Description of Facilities Supporting Wooster’s Core Mission

Use from intro to campus master plan or website; provide detail in resource materials

Master Planning

The Campus Master Plan is a means of prioritizing physical resource initiatives with respect to the College’s mission. Wooster has maintained an ongoing campus master planning process since the early 1990s. Several significant capital investments have been made to improve campus facilities in support of the educational mission since 2003, including the renovation of Kauke Hall and the construction of the Scot Center. The 2005 plan was completed with the opening of the Scot Center so, in the fall of 2010, the College began the process of updating its Campus Master Plan. After reviewing 11 proposals from architectural planning firms, the Cabinet decided on the 4 finalists firms who then presented their credentials in personal interviews. Dober, Lidsky, and Mathey, creators of the previous campus master plans, were chosen for the project.

Supporting Analyses, Data, Documents

- Facilities inventory/description of the current state of the campus
- Annual capital projects
- Sitelines analysis
- Campus Facilities Master Plan
- Deferred maintenance analysis
- Facilities investments since 2002-03
- Performance contracting

<p>The Campus Master Planning Process was transparent and inclusive, discussed widely on campus as a means of prioritizing physical resource initiatives with respect to the mission. The steering committee consisted of Cabinet members, the working group included faculty, staff and students and the multiple meetings to garner input from faculty and staff were very well attended and received. The Campus Stewardship Committee of the Board of Trustees heard an update at every meeting and its members and the full Board had the opportunity to provide feedback at many points in the planning process. The resulting Campus Master Plan is a template for future facilities planning, was approved by the Board at their June 2012 meeting.</p> <p>Facilities and Physical Plant</p> <p>Continued commitment to campus stewardship is evidenced in annual budget funding for repairs, maintenance, and capital projects and sustainability initiatives that have improved both facilities and infrastructure while reducing energy and operating costs. Physical plant repair and maintenance expenses are covered by resources provided from the annual repair and maintenance budget and as part of the annual capital budgeting process that bases decisions on resource allocation on mission and includes Cabinet and FAC review. Performance contracting projects have reduced utility costs significantly. The energy savings were focused on lighting, water and HVAC controls. The College exceeded its utility savings projection for 2011-12 and projected a flat utility budget for 2012-13, even with the addition of the Scot Center energy costs. Sightlines, Inc. is a firm that works with colleges and universities on analysis of physical plant operations, deferred maintenance levels, capital planning and benchmarking. From 2009-2011, Sightlines provided valuable facilities information the College leadership and facilities staff used in planning and decision-making. Sightlines provided a baseline and benchmarking for operational data such as capital spending categories, physical plant staff sizing, work order production, utility consumption and other important information to help build a best practices facilities organization.</p>	
<p>TECHNOLOGY INFRASTRUCTURE (Ellen)</p> <ul style="list-style-type: none"> At the heart of the the College’s IT Infrastructure is wired and wireless network services through which students, faculty and staff connect to applications and information resources that are hosted either on the College’s servers or hosted off-campus. The main College applications are Moodle (learning management system), Confluence (enterprise 	<ul style="list-style-type: none"> IT Committee overview briefing – October 2010 Systems & Networks RFI current “infrastructure” list Cycle replacement plans

wiki used for educational and administrative purposes), Ellucian (Datatel) Colleague (student and institutional information system), GroupWise (e-mail, calendaring), and WordPress (blogging platform used for courses, advising e-portfolios, and websites); several other specialized applications support disciplines and administrative functions. Faculty and staff are provided with personal computers and College-standard software; approximately 98% of students have their own computers (the College is in the process of implementing a “capable device requirement” for students entering Fall 2013). Several “public access” and “specialized (departmental)” labs exist across the campus. The majority of classrooms are equipped with media play and projection capability, with some having additional media equipment such as document cameras, Sympodia, and multi-screen projection capabilities. “Smart” boards are provided in Kauke, Morgan, Scheide, and Wishart Halls.

- The College’s technology infrastructure was largely built through one-time infusions to add major technology systems (servers, storage, the campus network, computer labs), with no continued funding for cycle upgrade and replacement.
- In earnest work on cycle replacement planning began in 2010-11. The premise of the plan is to sustain a point on the technology curve that is appropriate for supporting Wooster’s core mission as it evolves, while taking strategic advantage of the “consumerization” of technology, in particular, hardware. To date, cycle replacement plans are in place for faculty computer systems, campus print/copy devices, and specialized labs (s part of capital equipment budgeting). During 2012-13, a plan will be developed, and implemented for servers, storage, and network (voice and data) equipment; and a plan for cycle replacement of staff computers recommended. While the College has been able to replace failing equipment in classrooms, we lack a cycle upgrade plan that would provide for redesign and replacement of an entire classroom media configuration, though that often happens when a classroom is renovated.
- Information Technology at Wooster has been traditionally supported by staff organized in four “departments”: Applications Development, Digital Infrastructure/Media Services, Instructional Technology, and User Services. With changes in technology and the fact that we are using many technologies across many areas of the College, these traditional

<p>department structures and the roles of the technology staff are evolving, and at times, blurred. Additionally, the division has 2.5 fewer professional staff positions and an opening in instructional technology, which is necessitating rethinking who does what and how the division is organized to do it.</p> <ul style="list-style-type: none"> In 2011, Information Technology launched a Student Technology Assistant program. An experiential learning program, STAs work in progressively responsible positions assisting IT staff or working independently to support students, faculty, and staff use technology or troubleshoot problems. Having the STAs has enabled IT professional staff to “delegate” to students, and for students to gain experience in professional and technical roles. 	
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<p>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 super ordinate entity. (not applicable)(combine with # 5 below)</p>	
<p>Not applicable</p>	

<p>3. The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution’s organization, resources, and opportunities.</p>	
<p>(Ellen & John S.)</p> <p>Findings:</p> <ul style="list-style-type: none"> Our mission statement is incorporated within a Strategic Framework that has fixed objectives, yet allows for variation in strategies and tactics according to resource availability. Our strategic plan is integrated with its financial, capital, and fundraising plans. Academic departments have “mission statements” derived from the College’s mission statement. Administrative divisions and departments vary – some have formal mission statements, others set priorities in the context of the College’s mission and strategic objectives and priorities, others VPFB does not have mission statements. “Our role is to enable and support the academic and co-curricular work on campus.” This applies to every department. 	<p>Supporting Analyses, Data, Documents</p> <p>Strategic Framework Annual Strategic Priorities Memos Department/division mission statements</p>

4. Qualified staffing appropriate to the goals, type, size, and complexity of the institution

(Laurie & Melanie)

The Human Resources Department is in a state of transition and improvement. The College's HR Director of 27 years retired in July of 2012 and an interim Director has been in place since March of 2012. A new Director will be hired and preliminary plans call for a July 2013 start.

The Staff Salary/Wage project (5A1) required job descriptions for all staff positions and the job descriptions define the required qualifications, roles and responsibilities.

All staff employees are required to have appraisals annually. The tools for the appraisal process are found on the HR website and are updated in February each year. Supervisors perform the evaluations, and they and the staff member sign the document. The next level supervisor and division leader must review and sign also. Reminders for managers to complete the performance appraisals are sent if the appraisals are not received by the deadline. Once the process is complete, all appraisals are filed in the HR Office.

The last climate survey for staff was completed in 2006. There are plans to present another staff satisfaction survey in 2013. There was a benefits survey in 2011 and a HR services satisfaction survey in 2012.

Policies and procedures for staff are found on the HR website in The College of Wooster Employee Handbook, updated in 2011 and continually revised as needed.

Supporting Analyses, Data, Documents

- Staff Appraisal Forms and Instructions
- Surveys-Benefits, Staff Satisfaction (2009)
- HR Services Satisfaction Survey (2012)
- Job Descriptions
- Employee Handbook
- Staff Climate Survey 2006

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

2. The institution's resource allocation process ensures that its educational purposes are not adversely affected by elective resource allocations to other areas (Laurie S.)

Prior to the budget cycle that began in fall 2010, , the budget process was not as inclusive, strategic or transparent as in more recent years. As a result, the budget in prior years was not an

Supporting Analyses, Data, Documents

exact representation of the College's annual operations nor did it accurately estimate or project the future budgets or financial results.

The 2007-08 budget concluded with a \$1.5 million deficit and the 2008-09 budget projected the same, exacerbated by the negative external financial events of that time. However,, the College came through the financial crisis in a better position than many of its peers largely due to an effective core mission-focused contingency planning process led by President Cornwell (then in his second year) and facilitated by a faculty member serving as Interim VPFB and the Chief Information & Planning Officer (in her first year). This plan reduced spending or increased revenues permanently in some areas and temporarily in others. For the 2010-11 budget, Wooster's new VPFB streamlined and improved the budget processes, improved the accuracy and the transparency of the budget and its parameters and adapted a Five-Year Financial Budget Model for use in providing more meaningful budget projections for discussion by the Cabinet, the Board of Trustees and the campus community. For the 2011-12 budget, all electronic budgeting and a more strategic budgeting process were put in place. Based on the work by Laurie Stickelmaier (VPFB), Ellen Falduto (CIPO), and Professor John Sell (faculty liaison for strategic planning), the budget process became even more linked to the strategic planning process. Once the strategic priorities for the College were set, specific initiatives to achieve each of those priorities were identified. All of these initiatives command human, physical, and financial resources -- all of which are limited. A strategic financial plan and resulting annual resource allocations are specific initiatives within the plan and strategic budgeting process.

In order to determine how resources are allocated among specific initiatives, the Administration develops multi-year resource projections for each. These are not budget proposals initially; they are estimates of what the cost will be, in human, physical, and financial terms, to support and sustain the initiative at an optimal level. This allows the comparison of the comprehensive resource costs of each initiative against other initiatives in order to determine what the College's best strategic investments are on a short-term and a long-term basis.

Once each initiative's resource projection has been completed, the compensation, operating, and capital costs (both one-time and recurring expenses) are summarized. The result is the "5-Year Financial Plan for Strategic Initiatives". The Administration brings forward to the Board of Trustees its strategic and feasibility assessments, offering its judgments of which initiatives can

- Annual budget process & calendar
- Purchasing procedures
- Purchasing & contracts savings detail
- Monthly pro-forma budget-actual reporting
- Budget model reports
- Periodic budget reports (ex: to the Board)
- Departmental budget reports
- Budget manual
- Five year Financial Plan and Sources and Uses Documents
- Contingency Planning process and blog

and should move forward, the time line for accomplishing each initiative, and the sources of funding available to support them. The 5-Year Financial Plan is then incorporated into the 5-Year Financial Budget Model and serves as the guideline for appropriate budgeting in each academic year.

The 5-Year Financial Budget Model has been in place for 3 years. The Model is made up of several integrated “mini-models” linked to a historical, present year and future 5-year budget projection summary. The integrated models include attrition, enrollment, revenue, expense and others. Using the annual resource impact from the 5-Year Financial Plan for Strategic Initiatives as its starting point, it allows the Administration to plan and project financial outcomes under various scenarios and is the primary tool for building the annual budget.

The annual budget planning process uses the work done for the Model, aligning operating and capital budgets in support of our core mission and strategic, is bottom up and top down. The annual budget is a process where the Cabinet works with the FAC to determine the working budget parameters for revenues and expenditures and the total amount of capital funding available, raises are recommended by TS&T for the faculty and the allocation of the staff raise pool for market adjustments is recommended by Human Resources representing the staff. Revenue, expense and capital parameters also come from discussions with the Cabinet members have with appropriate staff. Early in the process, some of the working expense parameters come from Board requirements (salary) and placeholders are based on early estimates and projections. The President requests approval of the budget, including raises recommended by TS&T for the faculty and the allocation of the staff raise pool for market adjustments, by the Finance Committee and then the Board.

Monthly reports are produced during the fiscal year that allows the VPFB, the Budget Director and the Controller to make projections of the year-end result. Using the 5-Year Financial Budget Projection Model, these projections are shared with the Finance Committee and the Board at each meeting during the year. There is an operating reserve, the accumulation of decades of surpluses, in place in the event of extreme exigency during the year. This reserve contains over \$4 million and has never been used for that purpose.

Purchasing and Contracts Policy and Process Improvements

Past practice for purchasing and contracting at the College did not include a bid process or procedure. New bidding and contracting policies and procedures were put into place beginning in 2009 and phased in campus-wide over a 1-2 year period. The new processes have greatly improved purchasing practices. As a result, documented savings on purchases and contracts from 2010 to 2013 of over \$2.3 million were realized from these practices alone.

Commendations (what we do well):

- [Best Practices in Business and Accounting](#)
- [The Strategic Planning and Budgeting Process](#)
- [Facilities Planning and Construction](#)
- [Physical Plant Operations](#)

2010 Sightlines Report is last evidence but we have TMA and some custodial data from Ken Fletcher

Suggestions/Additional Study and Follow-up Needed:

- The College recognizes the importance of increasing the diversification of its revenue streams to match the increased efficiencies it has already realized in its spending practices. Investments made to the development operations are planned to have long-term positive results. The amount of the endowment draw is expected to increase as a result of the upcoming fundraising campaign and changes in the endowment asset allocation. The added development staff and the new campaign is also expected to increase annual Wooster Fund and planned giving contributions, providing short and long-term increases to the operating budget.
- Diversification of revenue sources
- Continue faculty salary analysis/benchmarking; FAC study of competitiveness of and benchmarking of faculty benefits
- [“Norming” of staff salary structure to GLCA on mid-level and administrative staff.](#)
- [Probably need something about HR, still issues but we are addressing it.](#)

Continued improvements and alignment of staffing with strategic priorities.

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

What they'll be looking for:

- a well-defined system of collegial governance including written policies outlining governance responsibilities of administration and faculty and readily available to the campus community
- written governing documents, such as a constitution, by-laws, enabling legislation, charter or other similar documents, that:
 - delineate the governance structure and provide for collegial governance, and the structure's composition, duties and responsibilities.
 - assign authority and accountability for policy development and decision making, including a process for the involvement of appropriate institutional constituencies in policy development and decision making
 - provide for the selection process for governing body members;
- appropriate opportunity for student input regarding decisions that affect them
- a governing body capable of reflecting constituent and public interest and of an appropriate size to fulfill all its responsibilities, and which includes members with sufficient expertise to assure that the body's fiduciary responsibilities can be fulfilled
- a governing body not chaired by the chief executive officer
- a governing body that assists in generating resources needed to sustain and improve the institution
- a process for orienting new members and providing continuing updates for current members of the governing body on the institution's mission, organization, and academic programs and objectives
- a procedure in place for the periodic objective assessment of the governing body in meeting stated governing body objectives
- periodic assessment of the effectiveness of institutional leadership and governance
- a chief executive whose primary responsibility is to lead the institution toward the achievement of its goals and with responsibility for administration of the institution
- adequate information and decision-making systems to support the work of administrative leaders;
- clear documentation of the lines of organization and authority
- periodic assessment of the effectiveness of administrative structures and services

Working Group Approach:

Members of the working group meet with FAC, Campus Council, and members of the Board of Trustees who serve on the Executive, Finance, and Investment Committees to collect and analyze evidence that pertained to the criteria. A community meeting was held on February 28, 2012, to get faculty and staff feedback on this element. Question: "How does the College involve its administration, faculty, staff, and students in setting academic requirements, policy and processes? Is this done effectively and in a collaborative manner? If so,

what evidence do we have to support this?” Jim Hartman, working group member and professor of mathematical science, prepared the preliminary draft of the working group’s findings.

Findings - Summary:

Findings:

<p>1. The institution has and employs policies and procedures to engage its internal constituencies—including its governing board, administration, faculty, staff, and students—in the institution’s governance.</p>	
<ul style="list-style-type: none"> • Board of Trustees: The structure, responsibilities, and organization are determined by the Bylaws of The College of Wooster as amended 4 June 2011. Each committee of the Board has a charter that outlines the responsibility of the committee. There are both faculty and student observers that are present at meetings of the Board. The trustees have done a self-assessment of the Board’s effectiveness. • Administration: The administrative structure is described in the Bylaws and outlined in Article IV of the <i>Statute</i>. Academic administrators’ responsibilities are also provided in the <i>Statute</i>. The President and Provost are evaluated on a rotating basis by a committee of faculty members appointed by the Committee on Committees. • Faculty: The <i>Statute</i> governs the Faculty with details concerning the duties and rights of the Faculty and is binding on both Faculty and Board of Trustees. The <i>Statute</i> also details procedures for a committee structure within the faculty including the five elected committees. As required by the <i>Statute</i>, the five elected committees meet together once every semester with the President. President Cornwell supported stronger faculty governance, and to further that cause asked to be removed from several faculty committees, and requested that a faculty member moderate faculty meetings rather than the President. The significant restructuring of the Academic Affairs office resulted in the changes in the academic administrators who served on faculty committees. In addition, it had been designated that the chair of a faculty committee be an administrator; that has 	<p>Supporting Analyses, Data, Documents</p> <ul style="list-style-type: none"> • Conference on Governance changes in faculty governance • By Laws • Committee Charters • Committee descriptions (faculty handbook) • Staff Committee charter • Campus Council charter • SGA charter

changed such that each committee chooses its own chairperson.

- Staff: Support and administrative staff are governed by the *Handbook of Benefits, Policies, and Procedures*. There is a College of Wooster Staff Committee (CWSC) composed of twelve representatives. The purpose of The College of Wooster Staff Committee is to provide an informal and collegial “communication forum” that provides candid discussion regarding administrative and support staff concerns, successes, and suggestions. The forum serves as an informative link in conveying the rationale behind College policies and decision-making. [MY: It’s important NOT to refer to the Staff Committee as engaged in governance from a National Labor Relations Board perspective as we run the risk of having a “de facto” union declared. The main avenue for staff to be involved in the governance process is through Human Resources as it might pertain to complaints or concerns about how the institution is run. Also there is the whistle-blower program to report suspected fraud or other wrong-doing.]
- Students: Students are governed by the Codes of Community and Individual Responsibility as found in *The Scot’s Key* which is the official student handbook. Campus Council, a campus-wide governance committee, is charged to (1) support and forward Wooster’s commitment to intellectual growth through liberal education; (2) promote the welfare of all members and organizations of the College; (3) discuss, legislate, and make recommendations on issues affecting and/or related to the campus community, the College’s mission, or the College’s strategic plan; and (4) establish means through which students, faculty, and staff can express their views and better understand the opinions of others. Students have their own organization of committees and organizations, one of which is the Student Government Association (SGA). The SGA is responsible for working to improve the life of students at The College of Wooster. And the SGA gets to put student representatives on a lot of important committees. Campus Council distributes student activities funds to student organizations based upon well-outlined budgeting guidelines.
- Alumni: The Alumni Board is an elected advisory group of The Alumni Association of The College of Wooster. The Alumni Board participates in meetings and a variety of activities to support students, alumni, and the mission of the College. The Board meets on campus semi-annually.

<p>2. The governing board is knowledgeable about the institution; it provides oversight for the institution's financial and academic policies and practices and meets its legal and fiduciary responsibilities.</p>	
<p>The Board (various committees and sometimes the whole Board) hear presentations about the academic programs. We can probably get a list of these. Board packets (I assume) contain some of this information.</p>	<p>Supporting Analyses, Data, Documents</p> <ul style="list-style-type: none"> • Board orientation program • Board resource/orientation book? • Board Self-Assessment 2011 (relevant questions) • Authorities of the Board (by laws) • (applicable) committee charters

<p>3. The institution enables the involvement of its administration, faculty, staff, and students in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.</p>	
<ul style="list-style-type: none"> • Communications and Stakeholder engagement: The President provides email updates and oral reports to the campus on Board activities. The Provost's office makes public the information on faculty activities that it provides to the Board at its June meeting. Minutes of FAC and EPC are provided to the faculty in the faculty meeting agendas. The Conference with Trustees Committee, along with regular reports to the faculty of Trustee activities, provided a report to the College community in January of 2012 of its assessment of the administrative structure that was put into place in 2009-2010. The College's planning process includes regular engagement of all campus stakeholders and an active blog. • Setting academic requirements, policy, and processes occurs through the faculty committee structure and Campus Council, in which appropriate committees are composed of students, faculty, staff, board members, and/or administration. 	<p>Supporting Analyses, Data, Documents</p>

Commendations (what we do well):

- Wooster has a very strong faculty governance structure. Faculty essentially have control over the curriculum and academic requirements. This is one of the strengths of Wooster I think. We should write more here.

Suggestions/Additional Study and Follow-up Needed:

[5.C.] The institution engages in systematic and integrated planning.

What they'll be looking for:

- goals and objectives or strategies, both institution-wide and for individual units that are clearly stated, reflect conclusions drawn from assessment results, are linked to mission and goal achievement, and are used for planning and resource allocation at the institutional and unit levels
- planning and improvement processes that are clearly communicated, provide for constituent participation, and incorporate the use of assessment results
- well defined decision-making processes and authority that facilitates planning and renewal
- the assignment of responsibility for improvements and assurance of accountability
- a record of institutional and unit improvement efforts and their results
- periodic assessment of the effectiveness of planning, resource allocation, and institutional renewal processes
- evidence that planning processes are continuous and systematic
- analysis of the institutional culture for planning, including faculty and administrators' understanding of their roles in the planning process; campus-wide efforts to encourage, recognize, and value efforts to engage in planning and institutional renewal
- analysis of the quality and usefulness of institutional support for planning efforts, including the quality and usefulness of any of the following that may be developed to promote and guide planning activities
 - written statements of expectations for goals, and plans, and the process for planned institutional change
 - policies and governance structures to support institutional planning
 - administrative support for planning activities
 - professional development opportunities and resources for faculty and staff to learn about planning
- analysis of the degree to which academic planning stems from academic program review and drives the development of other functional plans (financial, enrollment, facilities, technology) and unit-level plans

- evidence of program review used to change and improve educational programs, consistent with institutional values, purpose, and goals
- evidence of environmental scans and other processes in place for evaluating the economic, political, and social climate in which the institution operates and expects to operate
- assessment of the work of institutional committees, including the governing body, responsible for planning, assessment, and budget activities
- evidence of renewal strategies, rationales for changes made, and anticipated impact
- assessment of resources utilized for institutional improvement
- analysis of best practice models and benchmarks applied to improvement efforts
- evidence of quality improvement activities.

Working Group Approach:

Meetings with FAC (1/26/12) and select members of the Board of Trustees (10/27/11) as well as a subsequent meeting with Laurie Stickelmaier (4/10/12) were helpful in acquiring evidence. The working group also met with the VP for Enrollment and College Relations, the Dean of Admissions, and the Director and Associate Director of Financial Aid (joint meeting on 1/18/12) and President Cornwell (2/2/12) to discuss strategic priorities, planning, emerging factors and (for admissions/enrollment) current capacity. As with all criteria, the working group also spent time brainstorming and reviewing evidence compiled by the co-chairs and other working groups.

Findings:

1. The institution allocates its resources in alignment with its mission and priorities.	
<ul style="list-style-type: none"> • With the Strategic Framework and a budget process and model in place, we evolved the annual budget process to a planning linked budget process.... • The 2012-13 budget is the first developed under this process and is most complete reflection of a resource allocation plan that is based on the Strategic Framework. The college did not wait for all strategic initiatives to have full financial plans before proceeding with the most essential, such as improving faculty salaries, improving campus diversity, providing and rganizing professional resources to support a more diverse campus and curricular and co-curricular programs addressing diversty and global 	<p>Supporting Analyses, Data, Documents</p> <ul style="list-style-type: none"> • FY13 Budget Memo • FY13 Sources & Uses • Planning-Linked Budget Process document • Priority investments to date (support of strategic

<p>engagement, admissions and marketing, and undertaking targeted sustainability initiatives that provided the ability to address aging systems while generating savings that permitted investment in campus maintenance;</p> <ul style="list-style-type: none"> • #4 below: planning based on the sound understanding of our resources necessitates our making changes in our resource allocation. For FY13, for example, reductions were made in non-salary budgets for programs deemed no longer essential so that resources could be reallocated to more strategic priorities. Similarly, open staff positions and reorganizations permitted the College to hire staff per the plans developed for two strategic initiatives (Academic Planning, Advising, Experiential Learning and Development). • We follow the trend in resource allocation through a multi-year analysis of “institutional effort.” This analysis compares expenditures (compensation and non-salary expenditures) in the areas of our “core mission” (instruction, research, academic support, student services), institutional support (administration, general institutional expenses), operation and maintenance of plant, public service, and interest expense for fiscal years 2006 to 2011 (update for 2012 when available). During this period, we have increased the proportion of our resource allocation to our “core mission” from 58% to 64%, and decreased resource allocation to “institutional support” from 21% to 15%. Fitting with our strategic commitment to sustainability and campus stewardship, our resource allocation to “operation and maintenance of plant” has increased from 12% in FY2008 to 18% in FY2011. 	<p>initiatives)</p> <ul style="list-style-type: none"> • “Institutional Effort” analysis (2006-2011)
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<p><i>2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.</i></p>	
<ul style="list-style-type: none"> • A budget process, developed as part of our strategic planning work, aligns operating and capital budgets in support of our core mission and strategic priorities through a transparent process that is data-driven, and informed by on-going analysis of our financial situation, and our competitive environment. • The last six years have seen the emergence of a culture of assessment at Wooster. All academic departments, student life and academic affairs are now engaged in annual assessment. We are now ready to move to the next step and begin to incorporate this information into budgeting and planning. Prior to this time, we were simply not at a place to begin this process. 	<p>Supporting Analyses, Data, Documents</p> <ul style="list-style-type: none"> • Planning-Linked Budget Process document • Division budget requests “making the case” for budget allocations or reallocations

<ul style="list-style-type: none"> • Operations: Strategic priorities memo, updates, area-specific priorities and their assessment 	
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3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

<ul style="list-style-type: none"> • The objectives of Wooster’s planning process are to (1) develop an institutional culture of planning that fosters strategic thinking and influences all decision making, resource allocation, and assessment efforts, and to (2) develop a plan that is an agile, living document based on our core educational values and realities of our current and future contexts. At the time of the launch of our process in 2009, both these objectives for a planning process and our approach were “new” to the College, which had previously used more traditional and formal approaches. • The process was piloted in fall 2008 and winter 2009 as students, faculty, staff, and trustees engaged in a broad and transparent contingency planning process that was guided by a number of principles, most importantly was that the primary focus should be on stewarding the integrity of Wooster’s core mission and educational values and allowing for continued investment in strategic initiatives designed to advance our core mission and to improve our market position. • The steps in the planning process, and our current “refresh” of our Strategic Framework are designed to encompass all stakeholders and include both internal and external contexts. These steps are outlined in the “Plan to Plan for The College of Wooster.” • The Strategic Framework serves as the umbrella for corollary plans: marketing plan, enrollment plan, campus master plan, and five-year strategic financial plan. • Generally, the College’s institutional process is followed in the development of related plans. Most recently, the campus facilities master plan employed a similar process; the self-study, as an important component of our “refresh”, is engaging the entire campus community in multiple ways. 	<p>Supporting Analyses, Data, Documents</p> <p>A Plan to Plan for The College of Wooster</p> <p>On Purpose blog</p> <p>Campus Facilities Master Plan</p> <p>campus workshop report</p> <p>Plan for Planning Refresh</p> <p>Self-study Process</p>
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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.

<ul style="list-style-type: none"> • Given that the economic downturn of 2008 provided the initial context for our strategic 	Supporting Analyses, Data,
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<p>planning, the College is well aware of the impact of fluctuations in resource and the broader economic and demographic contexts.</p> <ul style="list-style-type: none"> • The purpose of a “Strategic Framework” is that it is agile, not “fixed” as are many strategic plans. The Framework outlines concepts of initiatives to achieve Wooster’s strategic objectives. Each initiative goes through a planning phase, during which resources (human, physical, financial) are identified. Resource needs are included in the strategic financial plan, and incorporated into the annual operating budget as resources are made available. This process provides for flexibility, and the opportunity to modify plans should resources or the external environment warrant. • The College assesses its progress on its annual strategic priorities and progress on the initiatives in the Framework annually. We anticipate that on an approximate three-year interval, we will “refresh” the Framework, thus permitting us to take stock of our capacity and potential challenges or threats. 	<p>Documents</p> <ul style="list-style-type: none"> • Contingency Planning principles (as foundational for our planning process) • SWOT • Plan to Plan • Strategic Framework
<p><i>5. Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.</i></p>	
<ul style="list-style-type: none"> • Our planning, the identification of strategic initiatives, actions to implement these initiatives, and priority setting are informed by competitive and comparative benchmarking, resource considerations, current and future trends, and economic realities. This occurs in the planning and planning “refresh” processes during development of “SWOT”s and development of our “situational analysis” • President Cornwell has convened a group of faculty and staff to consider the questions “What are the threats and opportunities that we can see peaking over the horizon for American higher education in general? The liberal arts niche within the American and global markets? And with regard to The College of Wooster in particular?” In its first year, the group has explored questions around demographics, This group enables us to generate ideas. 	<p>Supporting Analyses, Data, Documents</p> <ul style="list-style-type: none"> • A Plan to Plan for The College of Wooster • SWOT • Strategic Framework • Horizon Group

Commendations (what we do well):

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Suggestions/Additional Study and Follow-up Needed:

- While in practice we link our processes for assessment of student learning, institutional effectiveness, planning and budgeting, we need to be more intentional in our documenting these linkages, especially in terms of how they inform resource allocation and priority setting.

[5.D.] The institution works systematically to improve its performance.

What they'll be looking for:

- documented, organized, and sustained assessment process to evaluate and improve the total range of programs and services; achievement of institutional mission, goals, and plans; and compliance with accreditation standards that meets the following criteria:
 - a foundation in the institution's mission and clearly articulated institutional, unit-level, and program-level goals that encompass all programs, services, and initiatives and are appropriately integrated with one another
 - systematic, sustained, and thorough use of multiple qualitative and/or quantitative measures that maximize the use of existing data and information; clearly and purposefully relate to the goals they are assessing; are of sufficient quality that results can be used with confidence to inform decisions;
 - support and collaboration of faculty and administration in assessing student learning and responding to assessment results;
 - clear realistic guidelines and a timetable, supported by appropriate investment of institutional resources
 - sufficient simplicity, practicality, detail, and ownership to be sustainable
 - periodic evaluation of the effectiveness and comprehensiveness of the institution's assessment process
- evidence that assessment results are shared and discussed with appropriate constituents and used in institutional planning, resource allocation, and renewal to improve and gain efficiencies in programs, services and processes, including activities specific to the institution's mission)
- written institutional (strategic) plan(s) that reflect(s) consideration of assessment results.

Working Group Approach:

Questions from this element were also part of the work group's community gathering held on 2-28-12. "How do we evaluate our operations and apply what we have learned to improve our effectiveness, capabilities and sustainability?" Meetings with other individuals and groups mentioned above also helped the working group gather evidence for this section.

Findings:

1. The institution develops and documents evidence of performance in its operations.	
<ul style="list-style-type: none"> In addition to assessment of our educational program (Criterion 4), we have established both a dashboard and annual strategic priorities review process that provides periodic updates of our progress towards target metrics and on our annual strategic priorities. Individual areas of the institution use different approaches to planning, internal resource allocation, and evaluation; some are well documented and systematic. Assessments in individual areas, coupled with the priorities in our <i>Strategic Framework</i>, are the basis for our annual institutional strategic priorities. Specialized studies, reviews, and in-depth profiles are used to analyze our operations and competitive and comparative positioning. Where applicable, our analyses include benchmarking to our peer group (the colleges of the Great Lakes Colleges Association) 	Supporting Analyses, Data, Documents <ul style="list-style-type: none"> Dashboard Strategic Priorities Progress update Division annual priorities assessment reports Benchmarking book

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.	
Sustaining our momentum – we’re simply getting better at it Framework refresh process This self study	Supporting Analyses, Data, Documents

Commendations (what we do well):

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Suggestions/Additional Study and Follow-up Needed:

- All divisions of the institution need to formally document their planning, resource allocation, and evaluation processes. We are engaging in these processes; yet do not formally document them in all areas of the College.