5.A - Core Component 5.A

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

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

Argument

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

UW-Superior has maintained the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered. Each of the four components of this criterion will be addressed separately below.

Fiscal resources sufficient to support its operations

The UW-Superior campus has sufficient fiscal resources to support all of its operations. On this campus that means supporting on campus programming and online or Distance Education programming in both undergraduate and graduate program.

UW-Superior has a well-developed process in place for monitoring expenses and budget. There are numerous UW System policies in place to ensure proper fiscal management within its component institutions including UW System Regents Policy Documents Section 21 (Fiscal Policy and Procedures), UW System Annual Financial Reports, UW System Annual Budget and Fee Schedules, and Annual Campus Financial Statements. The campus financial reports are audited annually by the Wisconsin Legislative Audit Bureau. The Composite Financial Indicator Score has remained within an appropriate range for the past three reporting years. The UW-Superior Foundation continues ongoing fundraising efforts and is launching a new campaign in 2017 to support the campus.
The campus faces fiscal challenges that are similar to other similarly sized campuses across the country. The UW-Superior fiscal situation, however, has been uniquely and systematically buffeted by changes in state funding allocations, declining tuition revenue due to lower enrollments (now going back up), a four-year freeze on tuition, and a 500-year flood which took a toll on campus buildings and infrastructure. Despite being the smallest campus in UW System, the institution must also provide all the infrastructure and services of a larger comprehensive campus.

Between 2013 and now, the campus has proactively responded with strong program prioritization efforts, outsourcing of certain campus services (bookstore and grounds), administrative reorganization, a voluntary separation program, looking for and finding efficiencies across campus, development of innovations to attract students to the campus, a revamping of the campus advisement model, collaboration with UW-Extension in creating several business programs in sustainable management and data management as well as a health and wellness, and multi-faceted, robust enrollment and retention efforts, which have led to increasing numbers of freshmen for the past two years, increases in number of distance learning students, and, and the retoothing of graduate programs in education through collaboration with AP. UW-System has given UW-Superior a number of allocations of one-time support/funding to help the campus address both its budget challenges and targeted areas for growth and support of its mission. Finally, UW-Superior has responding by changing the nature and scope of its operations (for example programs moving to entire online or hybrid status). The campus has responded nimbly and strongly to the ongoing fiscal challenges it has been presented in this area.

UW Superior is one of the 13 comprehensive universities within the University of Wisconsin (UW) System. The UW System has an overall operating budget of $6 Billion which is approved by the Board of Regents on an annual basis. The State of Wisconsin faces budget challenges and that have resulted in the state decreasing funding to state agencies, as previously mentioned, including the UW System. Budget reductions received by UW System from the state are then allocated out to each individual campus. The document Annual Budget & Fee Schedule 2016 provides an overview of the annual budget of the entire UW System and each campus individually, as well as showing the impact of recent budget reductions on each campus and their use/reduction of fund balances in the past fiscal year. General Purpose Revenue is state appropriated revenue (fund 102) allocated to campuses as ‘budget authority’ and is combined with tuition revenue (fund 131) to create the campus base budget. As noted in the Annual Budget & Fee Schedule 2016 document, GPR funding to UW-Superior decreased 5.5% ($1,633,543) from FY15 to FY16 ($29,505,335 to $27,871,792, respectively).

Over the past six years since state funding reductions started, UW-Superior has experienced a decrease in the amount of $1.795 million. The notes on slide 7 outlines these reductions and was presented to the campus as a mid-semester update in March 2016. Adding further difficulty to the budget situation is the fact that all UW System schools have been under a tuition freeze for the past four years, and the governor and state legislature have proposed extending the tuition freeze for in-state undergraduate students for an additional two years. The combination of the tuition freeze and the reduction in GPR funding has provided challenges to UW-Superior in the area of financial resources.
In addition to the tuition freeze and the budget reductions that have been imposed by the state, UW-Superior is also managing a structural deficit of approximately $2.5-3 million. The deficit is due to reductions in the past biennia in state funding, insufficient resources to cover operating costs in academic affairs and athletics, and declining enrollment.

While the budgetary picture has been challenging, UW-System has supported this campus and its unique mission within the state. UW-System has given a number of allocations of one-time support/funding over the past four years to help the campus address both its budget challenges and targeted areas for growth and support of its mission. This support has enabled UW-Superior to establish a tuition reserve of $1,000,000 that can be used on a one-time basis to address strategic priorities and future budgetary needs.

Even with receiving support from UW System, the campus realized that it must take proactive steps to address its financial challenges. In 2013-2014, the campus underwent a Program Prioritization process which resulted in an approximate $995,868 reduction which is outlined in UW Program Prioritization & Budget Decision. This reduction resulted in an administrative restructuring (a $159,816 reduction), a 15% across the board reduction in supplies and expenses budgets, and identification of increased efficiencies. Additionally, 19 employees took advantage of the voluntary separation incentive program which will result in the campus realizing $350,467 in savings by FY17. In the fall of 2015, funds were set aside to incentivize ideas for campus enrollment growth through proposed innovations and grants to support their development. In addition, the campus committed to several sequential and progressively more focused recruitment and retention efforts including the Retention Action Committee (2016), the Chancellor's Task Force on Student Retention (2016) and numerous specific recommendations to enhance the enrollment management targets. Data analysis proceeds to determine the results. Please read 4C in order to see more detail on the campus enrollment management efforts since 2013.

While these actions have improved the state of the budget, additional work still needs to be done. The Program Prioritization process was one step in reducing the structural deficit within Academic Affairs; however, it did not alleviate enough of the budget issues and therefore further review and action will likely be needed within the Academic Affairs budget in the near future. The campus realizes that it cannot cut its way out of the deficits and there is a need to grow enrollment to offset the expenses. Analysis of the budget shows that UW-Superior needs to consistently enroll at least 2,235 full-time on-campus students in order to generate $17 Million in tuition revenue to meet its revenue target and ongoing campus fiscal needs. The campus has additional funding sources and the description of those funds can be found in the Fund Appropriation Tutorial. These funding sources are specific in nature, constituting 55% of the overall campus budget, and are used to provide additional assistance to support the mission of the university. Revenue is generated and expended in the areas of auxiliary services, program services, grants, financial aid, and federal indirect costs.

Student involvement is supported through Segregated University Fees (SUF) which are fees in addition to tuition which can only be expended on the specific purpose(s) for which they were created. SUF are further identified as allocable and non-allocable - allocable SUF are fees that provide substantial support for campus student activities and services, while non-allocable SUF
are fees that are used to support long-term commitments for fixed financial obligations, staff salaries, ongoing operating costs of university owned or controlled buildings, and similar commitments for student unions, health centers, child care centers and recreational sports centers. Segregated fees provided $2,731,352 in revenue in FY16 to support of the auxiliary services provided to students. Students play a vital role in reviewing segregated fee rates and budgets each year.

In June 2012, the campus experienced a 500 year flood. The Superior area had over 8 inches of rain within 24 hours which resulted in the campus and city drain systems becoming overtaxed. The University of Wisconsin-Superior’s Jim Dan Hill Library was among 16 campus buildings that were damaged by flooding June 19-20. The damage to the campus exceeded $20 Million, with the library collection making up $13 Million of this total. The campus received assistance from FEMA dollars to cover the $1 Million deductible on the loss. FEMA also provided additional support to the Department of Administration to help repair campus infrastructure (such as drains, campus steam lines, etc.). The campus received the final insurance claim payment in May of 2015.

Human resources sufficient to support its operations

As of spring 2017, the campus employs 474 people, including 203 full- and part-time instructors and 271 non-teaching staff. Of the teaching staff, 121 are full time. The university employs 82 adjunct instructors (part time). The non-teaching staff include:

- 35 full-time executive administrative staff (also called limited appointments).
- 97 full time mid-level support staff (department directors, coordinators, etc.)
- 25 permanent part-time mid-level support staff (like coaches)
- 62 full-time clerical support staff (Administrative Assistants, etc.)
- 24 permanent part-time clerical support staff
- 27 full-time skilled craftsmen (carpenters, electricians, plumbers, security, etc.)
- 1 permanent part-time skilled craftsmen
- 27 full-time outsourced positions that provide custodial and grounds services

There are continuing efforts to discern means to reduce personnel costs, while not negatively impacting campus operations. The decisions made to outsource certain auxiliary operations (such as the Bookstore and custodial services) are specific examples of efficiency measures and cost saving efforts that, although not desirable, were decisions made to have the smallest impact on students and their learning. Overall, the campus is mostly staffed sufficiently to support all operations.

Facilities sufficient to support its operations

The UW-Superior campus has sufficient facilities in place to support all of its operations and programs, wherever and however they are delivered.

UW Superior’s list of proposed capital improvement and/or projects vies for its share of capital dollars against all other UW System campuses. With the most recent state budget reductions, a
decrease in funding for capital and maintenance projects occurred statewide. UW Superior, however, is well equipped, as two new campus buildings were completed within the last six years; major repair occurred to the Jim Dan Hill library in 2012 after the flood; replacement of campus steam lines occurred during the summers of 2013, 2014 and 2015 and the majority of buildings are rated as “good” (minimal renovation) and “satisfactory” (limited renovation).

The campus has a track record of successful past master plan development and implementation as well. The current campus master plan was presented to and approved by the Board of Regents (BOR) at its December 2014 meeting. The campus plan will be the guiding document in project selections for sustainable development over the next twenty years.

**Technology sufficient to support its operations**

UW-Superior has sufficient technology resources in place to support all of its operations and programs, wherever and however they are delivered. Technology Services offers supportive services to the entire campus, both student body and faculty/staff. In addition, it also has the responsibility to ensure that campus technology needs are maintained and grow appropriately as technology is developing rapidly.

The CIO position at UW-Superior has been vacant for the past four years. In the interim, three Information Services Supervisors (ISS), who report to the Vice Chancellor for Administration and Finance, have been employed. These three ISS positions manage and oversee the Technology Services division. The Technology Services organizational chart outlines the specific technology components that each of them oversees.

Technology Services provides a wide range of opportunities and support functions to the campus, including computer and network support, web services, multimedia services, as well as network, telephone and technical support. A full list of the services, resources, and staff is found on the Technology Services website.

In addition to the Technology Services support provided, the campus also employs an Instructional Designer who works with instructors on the design and development of their online and hybrid/blended courses. The Instructional Designer is a Quality Matters certified National Peer Reviewer for online and hybrid courses and designs and leads various new online instructor training programs. The Information Services Supervisors have put together and submitted to the UW System a Technology Services Strategic Direction Update every year since 2013, which provides an outline of planned projects and identified technology needs for the campus.

While the university provides technological support, it is also investing in technology in a number of ways including the investment of approximately $82,000 in a fiber optic study and the upgrading and maintenance of technology. The campus manages these decisions through the University Technology Committee.

With the ever-changing field of technology including compliance, regulations and data security, human and financial resources will require a larger portion of the overall technology budget. In fact, the most recent Campus Master Plan it is noted as the top priority. The plan calls for
addressing the conditions of the fiber optic and telecommunication system. The current infrastructure is not capable of future requirements for campus data, voice, video, DDC and fire alarm reporting.

5.A.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.

UW-Superior’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. The campus is a public institution which is part of the larger state associated UW-System. As a public institution, UW-Superior is not part of a corporate entity, a subsidiary of a religious order, or a for-profit institution and therefore does not have a superordinate entity to which budget is allocated.

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

The goals incorporated into the mission statements or elaborations of mission statements are realistic in light of UW-Superior’s organization, resources, and opportunities.

These goals are also embodied within the campus strategic plan. This is a living document that is revisited (at a minimum) annually, on on-going basis, by the Strategic Planning Core Team (SPCT). The SPCT revisits timelines, tracks progress, and ensures plan accountability. Each goal and initiative has its own set of metrics to define success outcomes.

The campus organization sets the stage for how the campus select mission and associated goals are to be accomplished. In recent years, campus has re-organized several areas to better support the mission and to leverage our limited resources. For example, in the past marketing was done in various areas around campus. As part of program prioritization decisions, all areas of marketing were streamlined and merged under University Marketing and Communications. This made the marketing and communications for the campus more consistent and efficient. Another example is the creation of the division of Outreach and Alternative Delivery, which brought together Continuing Education, Coop Extension, Small Business Development Center, and Distance Learning under one umbrella. Bringing these areas together extended the undergraduate and graduate resources through alternative delivery and in collaboration with UW-Extension, fosters the development of cooperative and general outreach programming.

UW-Superior has also invested in areas that support the elaboration of the mission but also provide critical experiences and opportunities and promote retention and enrollment growth. For example, URSCA (Undergraduate Research, Scholarship and Creative Activity) which was funded beginning in 2010 promotes, recognizes, celebrates and provides resources and opportunities for research, scholarship and creative activity in all academic disciplines for students, faculty and staff. Most recently, the campus has committed to the creation of a Center for Community Engaged Learning (link to CCEL) which will focus on engaging inter-
institutional relationships, and foster community partnerships to enhance the educational and services opportunities for students.

Fiscal, structural and human resource decisions since 2013 have been very mission driven. The campus will continue to be informed by a strong mission commitment.

5.A.4 The institution's staff in all areas are appropriately qualified and trained.

UW-Superior’s hiring practices and policies ensure that all faculty and other staff are appropriately qualified and trained. Criterion 3.C.2, 3.C.3, 3.C.4 provide in-depth descriptions regarding the qualifications, professional development, and evaluation of all faculty and instructors (both full-time and part-time) on campus. Criterion 3.C.6 provides in-depth description regarding the qualifications, evaluation, and professional development opportunities for all staff providing supportive services. Human Resources manages the qualifications and training for UW-Superior staff and CETL supplements with specific professional development for faculty and academic instructional staff. All staff and faculty are evaluated annually on their performance according to their appropriate protocols and procedures.

UW-Superior employs a large number of student employees. Student staff are hired and trained within their respective hiring departments. The Student Employment office works with supervisors of student staff each spring to complete evaluations of all student staff. Additional Leadership training is offered to any and all students through the office of Student Involvement.

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

The institution has a well-developed, but evolving, process in place for integrated planning and budgeting. It also has a well-developed process for monitoring expenses.

The institution’s Integrated Planning and Budgeting Process has made great strides towards meeting the end goal of ensuring that all planning, budget, and assessment activities throughout every level of the organization are effectively linked and coordinated, and are driven by the institution’s vision, mission and academic priorities both online and on campus.

During UW-Superior’s 2013 HLC site visit, planning and budgeting was identified as an area of concern for the campus. The Strategic Plan: Visions 2020 began to address this issue. Per Strategic Initiative IV, Goal 2, Action Step 2, in 2014-2015, the campus put together a committee that focused on creating the Integrated Planning and Budgeting Process (IPBP). The proposed IPBP process was vetted through Academic Staff Senate, University Staff Senate, Faculty Senate, Student Government, and Strategic Planning Core Team.

The IPBP process has been an evolving process over the past few years and will continue to evolve until it is completely integrated. This new IPBP process was implemented in the summer/fall of 2015. This process includes the submission and review of the departmental Budget Requests and Annual Reports as well as the allocation of funds. Budget Requests and
Annual Reports are submitted from academic and non-academic departments. These requests include and are based upon the longer-term plan for that unit. Budget requests focus on appropriate activities for the following fiscal year. These requests are directly associated with the planned activities, services, and initiatives within that department/program. Budget Request Templates are provided to each reporting unit. Annual Reports focus on identifying the goals of the department/unit, whether those goals were met and to what extent, and how goals were measured.

Since Fall 2015, one full cycle of the new IPBP process has been completed, with a number of successes as well as some lessons learned. While some needed changes were identified, the campus is confident that future cycles of the process will be improved and even more effective.

The Integrated Planning and Budgetary Process committee evaluated the new process and provided recommendations for needed changes to the Strategic Planning Core Team in June 2016. As a result, the Student Services Annual Report and Budget Request forms were condensed to eliminate unnecessary information from convoluting the process. It was determined that Assessment had been missing from the Student Services Annual Report and was therefore added in. Additionally, submission and review timelines were adjusted to improve efficiency.

The process in fall 2016 has been more thoroughly integrated and strategic than ever before. SPCT focused on fund allocation processes more fully in 2016-2017. In past years, due to over 80% of UW-Superior’s budget being committed to salary, changing allocated expenses to provide more funding for strategic priorities has been challenging. The second cycle included a revised and improved process for allocation of any additional or new resources to be allocated with strategic priorities.

In fall 2016, budget requests were completed and submitted to SPCT. All the requests were compiled by the Office of Institutional Effectiveness into a spreadsheet. Each SPCT member reviewed the requests and scored them based on their alignment with the Strategic Plan. On November 29, 2016, SPCT met and discussed how requests were scored by each member. By the end of the meeting, they had compiled set of recommendations that were forwarded to the Chancellor on December 1, 2016. Then the Chancellor forwarded the SPCT recommendations to her staff. Chancellor’s Staff met (December 12, 2016 and December 19, 2016) and reviewed the SPCT recommendations. In addition they also took into consideration outstanding campus needs not covered in the budget requests. The outstanding campus needs list was updated and discussed in conjunction with the SPCT recommendations. The Chancellor’s staff forwarded their recommendations to the Chancellor on December 15, 2016. The recommendations were posted in the campus shared drive and the campus has been given the opportunity to provide their feedback to the Chancellor before the end of January 2017. The final budget allocations will be decided upon by the Chancellor.

The IPBP process will again be reviewed and revised as needed in the summer of 2017. The need for consistency of assessment and the need for departments to articulate how assessment data is used to inform planning have already been identified as revisions needed for the next cycle. While the campus has made progress, more work on identifying KPIs and consistent use of assessment in making budget decisions needs to be done. Therefore, review of the IPBP is a
standing agenda item for the IPBP committee and SPCT to ensure the areas for improvement are addressed as part of the Strategic Plan.

Sources

5.B - Core Component 5.B

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

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

Argument

5.B.1 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.

Board of Regents

The governing board of the University of Wisconsin-Superior is the Board of Regents (BoR) of the University of Wisconsin System. This board is knowledgeable about UW-Superior; it also provides oversight of UW-Superior’s financial and academic policies and practices; finally, while meeting the legal and fiduciary responsibilities needed to properly govern a University System and its institutions.

Authority is vested in the BoR by Chapter 36 of the Wisconsin Statutes and all responsibilities are summarized in that statute.
UW-Superior maintains a strong relationship with the UW System BoR, President, and Offices. Numerous groups, including each institution’s Chancellor and Provost, as well as the UW System Representatives for academic staff, university staff, faculty, and students, meet monthly in statewide meetings with their peers. Leaders of the Representative groups attend, observe, and sometimes report directly to the BoR at its meetings. Chancellors and Provosts attend all Board of Regents meetings, being called upon regularly to share news and activities from their campuses. There is a strong reporting structure as well, the purpose of which is to keep UW System and the BoR, informed of the broad array of activities of each campus. These relationships enable the BoR to remain very knowledgeable about UW-Superior. In fact, because of these relationships, the UW System BoR has been able to effectively support UW-Superior during both healthy times and during the recent series of budget crises.

The University of Wisconsin System is headed by the BoR, which has numerous functions reporting either directly or indirectly to it. There is a UW-System President who reports directly to the Board and oversees the operation and management of the entire System. A number of functions report to this person, including the Offices of Academic and Student Affairs, Finance, Administration, and University Relations. Both the BoR and the System are served by an Office of Internal Audit and by a General Counsel. Chancellors report to the BoR and work closely with the UWS President.

5.B.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.

UW-Superior has and employs policies and procedures to engage its external and internal constituencies in the governance of the institution. The good relationship with UW-System and the Board of Regents was summarized in 5B1. This section will focus on internal constituencies such as administration, faculty, academic staff, university staff, and students. It has an institutional culture is grounded in the principles of shared governance.

Shared governance is a collective decision-making process in which university administrators, faculty, academic staff, university staff, and students participate. Central to shared governance is the idea that collaboration is necessary between all groups to ensure and promote the mission of the university. Shared governance, above all, is to make sure that policies are enacted, with the input of the various constituencies, which guide strategic decisions within the University. Shared governance assures that diverse perspectives and collective wisdom inform such decisions, strengthening the University’s foundation for success. Shared governance, however, does not require decision-making to be through consensus. Shared governance is a vehicle to assure that there are opportunities for all constituencies to have input and inform decision-making.

Wisconsin Chapter 36 establishes the statutory parameters for shared governance within the University of Wisconsin System. The four primary constituencies are represented by governance groups and the administration interfaces with these groups. The university’s administration includes governance representatives in critical groups such as the Chancellor’s Cabinet. The Chancellor and/or Provost or their designee also attend governance meetings of the four
constituencies as a means of opening the lines of communication and collaboration between administration and the various campus constituencies.

Faculty governance provides faculty with the opportunity to participate in academic review and recommendation, educational policy making, and recommendations regarding personnel matters. Faculty become engaged in governance through individual initiative, service on departmental, Faculty Senate Councils and committees, and other university committees, and service on the Faculty Senate. Per their by-laws, Faculty Senate is made up of one representative from each of the 12 academic departments as well as one at large senator. The faculty of the institution elect a chair for the Faculty Senate from their ranks annually. The Faculty Senate's 5 councils (Academic Program Review, Graduate, Personnel, Planning and Budgetary, and Undergraduate Academic Affairs) ensure full participation in shared governance from macro to micro details.

The Academic Staff Senate is the recognized governing body for all academic staff, both instructional and non-instructional academic staff. The Academic Staff Senate (ACSS) consists of nine academic staff who are elected per the election process outlined in the ACSS By-Laws. Senators can be from any unit or department on campus. The ACSS meets once per month throughout the academic year and all regular meetings are open to the public. ACSS duties include: monitoring adherence to the policies and procedures of academic staff as provided in the Unclassified Staff Handbook, developing policies and recommendations in the best interest of academic staff and consistent with the goals and mission of the University, receive and review concerns from academic staff, serve as a channel for official communication from the Chancellor or Provost/Vice Chancellor of Academic Affairs on issues regarding academic staff, and the review and dissemination of professional development grants. A key governance committee for Academic Staff Senate is the Personnel Compensation Committee, which is responsible for reviewing promotion requests and title changes using UPG 1, and making recommendations to the Provost. The committee is also responsible for reviewing and making recommendations on Emeritus requests of Academic Staff.

The University Staff Senate (USS) is the recognized governing body for all University Staff. Its mission is to work with University of Wisconsin-Superior (UWS) campus leadership to promote effective partnerships with colleagues from all campus employee groups in support of the university's mission. The USS serves as an advocate for University Staff as well as for their ongoing professional development opportunities. The USS consists of 9 University Staff members who are elected, per the guidelines in the by-laws. The USS is charged with promoting a positive professional environment for all University Staff employees, creating and reviewing policies and procedures that affect University Staff, supporting professional development activities, encouraging informed communication among University Staff and within the broader University community, and serving as an advisor to the Chancellor and other University administrators. The USS is also responsible for the review and dissemination of professional development grants, and the review and recommendation of Emeritus requests of University Staff.

The Student Government Association (SGA) serves as the voice of the students. Their by-laws outline the SGA's roles and responsibilities. The purpose of the SGA is to represent the interests of the students of UWS in the governance of the University, working collaboratively
with the administration, faculty, staff, students, and student organizations of the University, the University of Wisconsin System, and with the Superior community in order to provide the best possible university environment and educational experience at UWS. The SGA has three main Councils/Committees. The Student Academic Affairs Council reviews, develops and recommends policy and guidelines regarding student life, services and concerns as determined by the President or directed by the Student Senate. The Internal/External Council monitors the functions of the Student Senate, operates elections, hears parking and housing appeals, hears impeachments, maintains communication with the University Community and regulates student organizations. The Segregated University Fee Allocation Committee (SUFAC), in consultation with the Chancellor, has the primary responsibility for allocating segregated university fees.

Shared governance requires strong communication between administrators and campus constituencies, clarity of the roles played in various kinds of decisions encountered by the campus, and an understanding of the responsibilities AND limits of shared governance constituency groups in making ultimate decisions. In some cases, these shared governance constituency roles are established by law, BoR approval and in other cases by campus structure and custom. This is an area in which greater consistency, definition, and clarity about which governance groups should receive and/or approve various campus documents, policies, and procedures would be beneficial.

UW-Superior has a number of committees and councils in which administration, faculty, staff and students participate on an annual basis. These committees prove necessary and valuable recommendations, advice, and consult into shared governance and decision-making. All constituencies on campus have committees that provide this inclusive input. Committee assignments are made annually unless the membership is on a rotation cycle. The governance groups have major responsibilities for committee assignments, again indicating the role of shared governance and inclusive participation in campus decision-making.

5B3 - Administration, faculty, staff and students are involved in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

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

The governance structures that ensure effective contribution and collaborative effort around setting academic requirements, policy and processes have been thoroughly described and discussed in the section on shared governance in 5.B.2.

Depending upon the nature and breadth of the academic requirements, policies, and processes under review, the different governance groups and constituencies are to provide input and feedback. Ultimately, in consultation with faculty and other key stakeholders as appropriate, the Chancellor is responsible to ensure UW-Superior has designed curricula, set degree requirements, determined academic standards, established grading systems, defined and administer institutional standards for faculty peer evaluation and screening of candidates for
appointment, probation and tenure, recommend individual merit increases, and administer all funds. The Provost/Vice Chancellor of Academic Affairs serves at the pleasure of the Chancellor and is the person who oversees and maintains all academic units and related activities.

All undergraduate and graduate academic curriculum and policy matters MUST pass through a parallel, well-established faculty governance review and approval processes. This process may be initiated by a department, an administrator, a campus committee, the Undergraduate Academic Affairs Council (UAAC) OR the Graduate Council (GC) of the Faculty Senate when questions relating to curriculum or academic policy and procedures arise.

AP 1117: Approval for Undergraduate Academic Matters: Curriculum Approval Chart sets out the kinds of academic actions which need approval as well as the various kinds of approvals each needs. Input is different for different academic actions. Actions/approvals covered by AP 1117 include: proposing a new major, changing a major, deleting a major or minor, changes to general education (university studies), changes to the High Impact Practices, course revisions, deletion of sequencing, articulation agreements, dual degree agreements, adding a new degree, and so forth. The list of actions is amended as needed. Some actions must go through all levels of governance review, and others may simply be a report to the registrar (who sits, along with the Dean of Faculties, as an ad hoc member of UAAC). The charge of UAAC is to review all proposed academic curricular, policy, and procedural items and make a recommendation on what action should be taken to the Faculty Senate.

AP 1601G: Approval of Graduate Academic Matters (Curriculum Approval Chart) works in an almost identical manner to AP 1117, but at the graduate level. The Graduate Council (GC) is academic policy making body for the Graduate Faculty and Graduate Programs. Some graduate level academic actions must go through all levels of governance review, and others may simply be a report to the registrar (who sits, along with the Dean of Faculties, as an ad hoc member of GC). The Graduate Council reviews all proposed graduate level academic curricular, policy, and procedural items and makes a recommendation on what action should be taken to the Faculty Senate. The membership of GC includes graduate faculty representation from each graduate program.

All four constituencies interact and collaborate primarily through the vehicle of campus committees and the governance chairs are members of the Chancellor’s Cabinet. UW-Superior has a series of both standing committees and ad hoc, short term committees created to address specific tasks. There are four kinds of campus committees and councils (see discussion in 5.B.2.). A full listing of all campus standing committees/councils, their charges, and membership makeup, which are governed by or convened through the various governance groups and/or administratively is available on the Provost’s.

A recent example of a short term committee is the 2015 Summer Task Force on Innovation and Design. The task force included administration, faculty, academic staff and university staff who developed a process the dissemination of internal innovation grants. The grants provided an incentive program where funding was made available to promote innovative ideas and programs with the goal of attracting new students and improving retention and graduation rates of our current students.
Sources

5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

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

Argument

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

UW-Superior utilizes the Integrated Planning and Budgeting Process (IPBP) which is the basis for long-range strategic planning, division and departmental planning, and continuous improvement. IPBP is the mechanism the institution uses to support the mission, vision, and core values of the institution and achieve its stated outcomes and continuous improvement goals in a manageable and sustainable way.

In the past four years, UW-Superior has undergone a campus wide strategic planning process, has conducted and acted upon a Program Prioritization review in response to state fiscal issues, has developed a process for integrated planning and budgeting (the IPBP), has created a campus committee with broad representation from all governance groups to provide ongoing accountability for achieving success with the strategic plan and the IPBP in concert with one another, and has evaluated the first year cycle of the IPBP.

Criterion 1A.3 describes how the 2013 HLC site visit to UW-Superior flagged concerns regarding the campus planning and budgeting process. In response, during 2014-2015, the campus revamped its former planning body to create the Strategic Planning Core Team. This team had two related charges. The first was to provide accountability in the implementation and evaluation of the Strategic Plan. The second was to create an Integrated Planning and Budgeting Process. This process, once designed, was carefully reviewed by Academic Staff Senate,
University Staff Senate, Faculty Senate, Student Government, and Strategic Planning Core Team. The new process was implemented in the 2015-2016 academic year.

Academic and non-academic departments both (on-campus and distance) submit budget requests and annual reports. Annual reports (academic and non-academic) include a review of the past year's activities, achievements, and unit data, as well as a review of assessment mechanisms utilized. The annual reports, using a detailed rubric, provide information about activities and achievements in relation to the priorities of the unit and the campus. Budget requests focus on funding needed for the following fiscal year. Both annual reports and budget requests are directly associated with the planned activities, services, and initiatives within that department/program and their direct link to the mission, vision and strategic plan of the institution.

After completion of the first year of implementation of the IPBP process, the Integrated Planning and Budgetary Process committee reviewed and evaluated the new process and provided recommendations for needed changes to the Strategic Planning Core Team in June 2016. Those changes were implemented for the 2017-2018 cycle. SPCT will continue its on-going evaluation of the process annually. Additional changes will be identified over time, so that future cycles of the process will be improved and even more effective.

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

The institution links its processes for evaluation of operations with planning and budgeting. Assessments of student learning, which occurs consistently across campus on an annual basis, informs departmental budgetary requests submitted to the SPCT, the IPBP and Chancellor’s Staff for consideration. All academic and non-academic units produce an annual assessment report and budget proposal, and the SPCT is currently evaluating our 2016-17 procedures to ensure the IPBP process will effectively link and integrate our planning, budgetary, and assessment data throughout every level of the organization during the 2017-18 fiscal year. One initial step was to update the Annual Report and Budget Request forms for FY18 to now include sections on each form asking for data on measurable outcomes and evidence of student learning. The institution recognizes that we can still improve the links between assessment of student learning results and operations, planning, and budgeting.

SPCT has discussed how the use of assessment outcomes, as well as key performance indicators, could strengthen the budgeting process. During the 2016 review of the newly implemented Integrated Planning and Budgeting Process (IPBP), this issue was identified. One initial step taken to remedy this issue was updating the Annual Report and Budget Request forms for FY18 to now include questions regarding measurable outcomes and assessment plans.
5.C.3 The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

Development of the Strategic Plan

Numerous opportunities were created to engage internal and external constituency groups in the Strategic Planning process. University members, businesses, employers, community, alumni, and students were engaged in the development of the strategic plan. Through open forums, surveys, and focus groups, feedback was sought from these valued constituents.

Research groups used data from the Office of Institutional Effectiveness as well as outside data sources (for benchmarking purposes), such as the Integrated Post-Secondary Education Data System (IPEDS). In December 2013, the research results from each team were presented in an open session to the University community and to the Strategic Planning Steering Committee. The campus community was invited on multiple occasions to offer feedback and suggestions for the planning process through the website. This could be done anonymously as well.

UW-Superior also hosted a strategic planning listening session for University of Wisconsin System on October 14, 2015. The session brought key community members and leadership to the table to discuss the vision for higher education in Wisconsin, specifically in the Northwest region of the state. The Chancellor and Director of University Relations were in attendance, listening to community members speak about UW-Superior and its connection to the surrounding area. The economy, education, and other topics were discussed. Through these efforts across the state, the UW System strategic plan was recently unveiled and termed FWD 2020. It aligns closely with UW-Superior’s strategic plan.

Ongoing Integrative Planning and Budgeting Process

As noted in 5.A.5 and 5.C.1, campus constituencies are given multiple opportunities for input into the planning and budgeting process.

Academic Unit Advisory Committees

A number of academic programs utilize community advisory committees to inform planning, development, licensure, and accreditations. For example, the Social Work Program and the Teacher Education Program (now called the Educational Preparation Program) both utilize active, engaged advisory committees comprised of professionally and disciplinarily related community members. The Strategic Plan in item I.4.1 calls for each academic program to develop an official advisory group.

5.C.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.
UW-Superior plans on the basis of a sound understanding of its current capacity. The UW-Superior plans anticipate the possible impact of fluctuations in its sources of revenue, such as enrollment, the economy, and state support.

As noted in 5.C.1, UW-Superior uses annual reports from all units in its planning process (IPBP). These reports identify successes and achievements, as well as areas of challenge, giving the SPCT and administrators a picture of the state of its units. These reports for each unit and department may be accessed by any campus member online.

Campus administrators are in close touch with System Administration and the efforts it makes with the Legislature in regard to Higher Education. They have been effective advocates in attracting System support to assist with transitioning in response to revenue shift and decreases and have also supported a number of the campus initiatives to increase enrollments.

UW-Superior pays close attention to changing demographics, changing methodologies for reaching and recruiting students, changing technology advances which affect instructional strategies, opportunities for innovation, and possible areas of collaboration to increase its enrollments. It is increased enrollments that must make the difference in an era of shrinking state revenues.

UW-Superior responds nimbly and quickly to these ever changing environment; this awareness and relevance is reflected throughout the strategic plan, a living and flexible document, which has provided a blueprint for campus planning and response efforts. For example:

1. High school graduation numbers are decreasing in the key feeder school areas of northwest Wisconsin, specifically Superior High School. In response to this, the Twin Cities Enrollment proposal was developed to recruit students from the Twin Cities metro area. It was funded by a grant from the UW-System Growth Agenda to specifically target and market students from the Minnesota Twin Cities region (Minneapolis, St. Paul and surrounding areas). The results of this work have led to an increase in enrollments from this area.

2. In Fall 2015, the university was given $200,000 from UW-System to vigorously engage in strategies for increasing enrollment. This was used to foster the development of innovative programs that would increase enrollment and retention in the short term. Some were larger grants (like initiating a new program); some were smaller (changing a process on a smaller scale to support enrollment and retention. Administration offered competitive innovation grants to deliver on this. The grants were awarded in Fall 2015 and implementation began Spring 2016.

3. The university’s Office of International Programs has developed effective strategies for bring international students to the campus. In Fall 2015, the International student enrollment grew 94%, from 34 incoming new freshmen to 66.

4. The university also started an English as a Second Language Institute (ESLI) in Spring 2014. The ESLI is hosted by the university. Students live in the residence halls and participate in all international student activities. This program implementation will likely increase international enrollments as well.
In Fall 2015, the total international student count was 189, which is 8% of the total UW-Superior enrollment. This is the second highest proportion of international students in the entire UW-System, second to UW-Madison at 12%.

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

Institutional planning anticipates emerging factors, such as technology, demographic shifts and globalization. This is an area into which planners at UW-Superior have put significant effort. It has become an area of growth and improvement, with more work yet to come.

The Strategic Plan (SP) was designed to be a living, deliberately flexible document, subject to on-going revisions and updating. This was done in order to respond nimbly to just these kinds of sweeping changes as soon as possible. The SPCT takes the lead in flagging needed changes in the SP and in obtaining necessary approvals.

In response to the strategic plan, changing demographics, and the institution’s obvious need to increase its revenue, the programs within Enrollment Management created an enrollment plan. This plan identifies specific goals and strategies for recruitment which consider and plan for a changing demographic. This enrollment and recruitment planning has also kept up with technological advances by converting to online applications, utilizing a CRM for outreach, and improving the campus presence via the website and social media. In addition, departments are asked to develop plans to enroll and retain students and to report these activities in their annual reports.

The graduate programs in education have partnered with an outside entity, Academic Partnerships. This partnership is expected to increase enrollments significantly over the next three years. These programs were hit hard by a state law change that wiped out their potential student population precipitously. Enrollments are expected to increase each semester, eventually bringing the number of new graduate students well over 200.

Under 5.C.4 a number of other timely enrollment initiatives were addressed as well, including the rigorous recruitment of international students.

Technology Services has developed the Technology Services Strategic Direction which outlines campus technology projects and related goals. As previously noted previously, the campus Technology Services unit has had to adapt in the absence of a Chief Technology Officer. Long range planning for the campus is an area which needs to be more fully addressed as the permanent staffing is resolved. The university has a *University Technology Committee* that meets regularly to discuss new software and technologies. It also develops campus information technology plans. Membership includes three faculty, two academic staff, two university staff, and persons representing technology services. This committee will play in integral role in any strategic planning from Visions 2020. The technology section of the strategic plan is currently on hold, but the committee continues to implement and improve technology on campus and outlined in the *Technology Services Strategic Direction* document.
Over the past several years the institution has seen an increased demand for distance education and alternative delivery. This is an area with significant growth potential. In response, the campus has invested in a position for an Executive Director of Alternative Delivery and Outreach. This person provides planning and fiscal administration for Distance Education, Continuing Education, Cooperative Extension, and Small Business Development.

In addition, technology is becoming increasingly key in on-campus classrooms. As a result, the Center for Excellence in Teaching and Learning (CETL) provides continuous support in the area of technology as it relates to teaching and learning. Currently, the office has a full-time Associate Media Specialist who provides media production and technology transfer support to the CETL Mission working with faculty, instructional academic staff and academic departments serving both campus based and alternative course delivery. This individual is also a campus representative to UW-System's Learning Technology Development Council (LTDC). CETL sends monthly messages, hosts workshops and webinars, along with one-on-one training involving the use of technology in the classroom.

Numerous academic programs have strong elements of globalization in their curricula. These may be found as discrete courses (History, for example) or integrated across the entire curriculum (Social Work, for example). These curricula are revisited on a regular basis and revised to keep up with disciplinary trends related to globalization. Some of the programs are: History, Sociology, Visual Arts, Music, Social Work, Sociology, Business (all programs, particularly Transportation and Logistics). A number of these programs have developed study away options. For example, acapella choir has made recent performances in Rome, China, Brazil, Eastern Europe and Canada. Other academic programs have led short term study away opportunities in Mexico, Bali, Bosnia, Costa Rica, France, Argentina, and Germany. Long term study away options have included China, Italy, Korea, Costa Rica and Scotland. Majors in Business (T & L, for example) require international content courses for their majors, and there are international sub-tracks within some of the business majors.

The General Education Program has a non-Western and a diversity requirement that each have numerous options of courses with globalization foci. Finally, there is a strong and growing global studies minor.

As noted previously the campus enrolls increasing numbers of international students (in 5.C.4); this is due to the robust recruiting and outreach conducted by the Office of International Programs.

**Sources**
5.D - Core Component 5.D

The institution works systematically to improve its performance.

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

Argument

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

As indicated in the 2015 monitoring report submitted to HLC, UW-Superior has continued to make strides in documenting the performance of our operations. This can be documented through the monitoring and progress of the Visions 2020 strategic plan, the Integrated Planning and Budgeting Process, and through the Office of Institutional Effectiveness.

Superior Visions 2020 Strategic Plan

The Strategic Planning Core Team (SPCT) is responsible for monitoring the progress of UW-Superior's Visions 2020 Strategic Plan that commenced after UW-Superior's last HLC visit. The Strategic Plan details four main Initiatives, summarized as Student Experience, Thriving Partnerships, Achieving Excellence, and Resource Management.

Since the plan was developed, documentation of its performance and progress occurs in two main ways. First, one key individual on-campus is responsible for ensuring action steps associated with goals is progressing. Reports for each action step area are submitted either electronically to SPCT or are delivered directly to SPCT during a meeting. Progress is documented within the SPCT meeting minutes and shows progress on a semester basis. In addition, each summer, SPCT recollects and documents the progress made within each of the four initiatives on the SPCT metrics. The metrics are also updated to forecast action steps needed to accomplish the numerous goals listed within each of the four initiatives. Progress on the Visions 2020 strategic plan are communicated to campus through e-mail updates and presentations.

One area UW-Superior has developed but not actualized to its potential is the Strategic Plan Dashboard. As created, the dashboard should be the hub of all strategic planning progress. While it exists and has been piloted for its potential value, the institution is still clarifying how the dashboard will allow better monitoring of key performance. The role the dashboard plans in communicating and monitoring progress will be a part of the SPCT summer 2017 retreat.
Integrated Planning and Budgeting Process

Since the 2015 monitoring report, UW-Superior has continued to utilize, and continually improve, the institutions integrated planning and budgeting process. For more in-depth information, on this process and the plans for continually improving it, are detailed in Criterion 5.A.5 and 5.C.1.

Office of Institutional Effectiveness

UW-Superior, as a part of UW System, monitors its progress and performance mainly through the Office of Institutional Effectiveness (OIE). The OIE submits UW-Superior accountability reports, which benchmark our progress, that are then hosted on the UW Systems website. Other reports, such as the NSSE, Equity Score Card, and those dealing with Student Achievement are administered by OIE. This documentation of the Universities performance is accessible on the OIE website. Many of these results are also highlighted on the Superior Results page. This office is our key hub to gather data and provide documentation and evidence of the institution's performance.

5.D.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.

Superior Visions 2020: Continually Improving

The institution learns through the close monitoring and analysis of the progress on the Strategic Plan's metrics. The SPCT closely reviews both the large scale initiatives of the plan as well as the detailed action steps for each goal. This review has occurred monthly since the plan's inception. As a result of these reviews and analysis, the institutions has learned what is working and not working in the original conception of the strategic plan and has made numerous revisions in order to ensure that the key initiatives are realized in a realistic time frame within our resource capacities.

Specific examples of these revisions (and therefore our learning) are allowing departments more time to develop high quality advisory groups in the community, shifting of the High Impact Practices timeline to ensure the quality standards were fully reviewed and approved through shared governance, and changed our granular emphasis on retention/recruitment goals to institution wide performance goals on these topics. In this way, the Strategic Plan has remained a living, evolving document that has guided the institution over the past four years while allowing ongoing learning.
Continuing to Improve the Integrated Planning and Budgeting Process

UW-Superior has continued to learn from the new IPBP process and improve it. After completion of the first year of implementation of the IPBP process, the IPBP sub-committee reviewed and evaluated the new process and provided recommendations for needed changes to the Strategic Planning Core Team in June 2016. Those changes were implemented for the 2017-2018 cycle. SPCT will continue its on-going evaluation of the process annually. Additional changes will be identified over time, so that future cycles of the process will be improved and even more effective.

Utilized results from the Office of Institutional Effectiveness to Improve the Campus

The Office of Institutional Effectiveness is regularly consulted by the Chancellor's Staff and the Provost's Leadership Team to review evidence and data gathered. The data is shared in some key capacity at every Opening Week all campus gathering to inform the campus of our performance. OIE also provides academic departments with specific data to inform their strategic planning, budget requests and performance assessment. All levels of the institution consult and rely on the expertise of this office to inform their daily operations and overall plans.

The institution is moving rapidly toward developing key performance indicators, which will be used on the dashboard and will guide macro-planning on planning, budgeting and performance evaluation. These will begin being developed during the Summer 2017 SPCT Retreat and implemented in FY 18.

Sources