

UPPER IOWA UNIVERSITY



AQIP | Systems Portfolio 2009



UPPER IOWA UNIVERSITY

Established in 1857®

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UPPER IOWA UNIVERSITY 2009 SYSTEMS PORTFOLIO

Organizational Overview

Upper Iowa University (UIU) is a private, not-for-profit institution founded in 1857. It is accredited by the Higher Learning Commission (HLC) and has been a member of the North Central Association since 1951. The University enrolls approximately 800 mainly traditional students on the residential campus in Fayette, Iowa and another 5,200 non-traditional adult learners in Academic Extension (AE) and International Program (IP) Centers, and in its Center for Distance Education (CDE, which includes the Online and Independent Study programs). AE Centers are located in Wisconsin (Madison, Prairie du Chien, Milwaukee, Wausau, Janesville, Elkhorn), Iowa (Des Moines, Waterloo, Ankeny, Cedar Rapids), Kansas (Fort Riley, Fort Leavenworth), Louisiana (Fort Polk, Alexandria), and Illinois (Rockford). International Program (IP) Centers are located in Hong Kong, Singapore and Malaysia. The following glossary reflects the changing structure of the University.

Glossary of UIU Structural Terms

Academic Extension (AE) previously known as the Extended University (EU); includes the Centers located in Iowa, Wisconsin, Kansas, Louisiana and Illinois, the Center for Distance Education (CDE) which includes the Independent Study Program (IS) and the Online Program

Center for Distance Education (CDE) includes the Independent Study Program (IS) and the Online Program and is part of the Academic Extension

External Degree (ED) is the previous name for the Independent Study program

Extended University (EU) is the previous name for Academic Extension

Fayette Campus is also known as the Residential University (RU)

Independent Study (IS), formerly known as the External Degree Program, is a paper or e-mail based program offered in a six month timeframe where learners work directly with instructors to demonstrate learning through coursework and assignments.

International Programs (IP) includes centers in Hong Kong, Singapore and Malaysia

Residential University (RU) refers to the Fayette campus, enrolling primarily traditional students and offering NCAA Division II athletic programs

The institutional culture at UIU has evolved in significant ways with its acceptance into the Academic Quality Improvement Program (AQIP) in 2005. While the University had been involved in academic outreach since the 1970's and had begun to realize the need to function in a more unified way, AQIP has provided the framework used to orchestrate a quality improvement process initiated with President Alan G. Walker's inauguration in 2004 and designed to have results-driven quality processes implemented across an institution no longer separated into isolated silos.

The president formed a steering committee whose members represented all aspects of the UIU community. A consultant was employed to instruct the steering committee on AQIP and the quality improvement methods essential to the AQIP model. The Vital Focus process was

completed and a Conversation Day was conducted. The steering committee continued its efforts to launch quality improvements and to involve increasing numbers of faculty and staff in these team efforts.

With UIU's acceptance into AQIP, the Board of Trustees directed the University to examine its mission and vision. Accordingly, the president named a committee, including stakeholders representing faculty, staff, administration and alumni to address the task. This committee met regularly over a period of several months, and in April, 2006 gave its recommendations to the President, who presented them to the Board. In spring 2007, the Board formally adopted the following as the University's mission and vision:

Mission

Upper Iowa University provides student-centered undergraduate and graduate educational programs through flexible, multiple delivery systems in an environment in which diversity is respected, encouraged and nurtured.

Vision

Upper Iowa University will be recognized and respected as an exceptional and ascending institution of higher learning, developing global citizens who become lifelong learners prepared for leadership within society.

UIU's mission and vision define the institution and its goals. Student-centered refers to small class sizes (14:1 average student to faculty ratio on the Fayette campus and the Academic Extension and 15:1 for the International Program). Small classes allow faculty members and students to interact directly. Faculty members are able to tailor teaching strategies to focus on improving learning outcomes. Student progress is carefully monitored. All students have an academic advisor who is in contact with them every term and who monitors their course enrollments. All programs culminate with capstone projects which involve significant individualized contact with each student.

The mission highlights the importance of a variety of delivery options. These include classroom delivery in a residential setting, in adult learning centers, online, and through independent study and various technologically-enhanced modalities. The mission recognizes the important role diversity plays in the institution (See 1P16). UIU Membership in NCAA Division II athletics also draws students from different backgrounds to the University. For students at UIU's international sites, diversity takes on a different meaning. These learners value the connection to American pedagogy and curriculum.

The University's vision to grow and be recognized for excellence demands a continuous improvement process and AQIP has again provided the framework needed to accomplish these goals.

O1 Goals for Student Learning and Shaping an Academic Climate

All [undergraduate majors](#) at UIU share the same general education requirements and assessment strategy. One of UIU's first AQIP action projects modified the General Education assessment system (See 1P1). The new system differs from the old in that it is more student-centered, focusing on tasks which students perform to demonstrate their learning of the General Education curriculum and aligning the General Education outcomes with the degree requirements. An assessment team involving faculty from across the University evaluates results (See 1R1) and communicates them to faculty across the University, providing a continuous improvement feedback loop.

A current AQIP action project involves reviewing all majors offered by the University to align them with the re-defined University Mission and strategic plan. The new project builds on the student-centered General Education assessment model, addressing continuity across the University and adherence to standards in each major area of study, and is providing background information for the quadrennial review of these majors. In particular, all majors are being revised to include curriculum aimed at developing the characteristics of global citizens. Recommendations emerging from the process have led recently to curricular modifications by the Division of Business (See 111) and will continue with the Division of Liberal Arts and Humanities majors in the next academic year.

The University offers an Associate of Arts degree with emphasis areas in general business or liberal arts. This degree shares the common General Education requirements, and the emphasis areas are reviewed on a regular basis by their respective divisions. Certificate programs are available in emergency and disaster management, human resources management, marketing, organizational communication, and organizational leadership.

UIU offers four [master's degree](#) programs developed in response to market research and demand. Full and part-time faculty members contributed to the original designs and continue to be involved in assessment and improvement of these programs.

The **Master of Business Administration** targets learners interested in leadership roles in business. The emphasis areas of accounting, corporate financial management, global business, human resources management, organizational development and quality management were developed based on market research. The **Master of Public Administration** was developed to serve learners interested in public sector or non-profit leadership. Emphasis areas include health and human services, homeland security, justice administration and public personnel management.

The **Master of Higher Education Administration** prepares professionals with varied academic backgrounds for leadership positions in higher education or related fields such as human service organizations, military units, professional associations, and public policy groups. The program offers two areas of emphasis: leadership, community and technical college administration. The **Master of Education** is designed primarily for elementary and secondary teachers who seek advanced coursework in emphasis areas of instructional strategist, reading, and English as a second language or instructional/classroom leadership.

UIU offers a variety of delivery options. On the Fayette campus, semesters composed of two eight week terms provide the opportunity for students to focus on two classes at a time in a residential setting. The adult learning Centers and the Online Program also provide coursework scheduled in eight-week terms. The Center courses are offered primarily at night. Some weekend and daytime courses are offered. The online courses are asynchronous. All schedules are designed to provide flexibility for adult learners.

The University also offers the option of an Independent Study program. The program started in 1973 and was one of the first of its kind in the nation. Modeled after traditional correspondence learning, it is a paper/email based program specifically designed to make learning as flexible as possible. Using texts, study guides and other course materials, learning is demonstrated with specific assignments and proctored exams. Additional strategies for course delivery have recently been adopted, including hybrid delivery using the University's learning management system through the [myUIU](#) portal and Tegrity (lecture capture system). Other systems are being considered for the future.

O2 Key Organizational Services

UIU is an active partner in Fayette and the other communities where its Centers are located. Fayette campus students participate in nationally recognized local community projects including Fayette Appreciation Day and Peacocks for Progress. AE Centers contribute to local chambers of commerce, educational outreach activities and other local events. Faculty members are recognized for community service as part of their tenure review. Cultural events including art exhibits, musical performances and food festivals are offered by the University and are open to the community. (Economic development activities are addressed in 9P5.) Through participation on Advisory Committees at AE Centers and connections with employers, UIU has identified and addressed educational needs in the communities it serves. Programs including the RN to BSN, athletic training, conservation management and human services major for the social work training certificate were developed based on community needs.

Various extra-curricular activities are available for Fayette campus students including organizations, student publications, intramural competition and cultural activities. With the vision focused on the development of global citizens, increased efforts are being made to provide international experiences for students. The growth of the international student population on Fayette Campus also supports this goal.

The UIU Recreation Center is available at no cost to Fayette campus and commuter students, faculty, and staff and at low cost to community members. It provides facilities for activities including walking, jogging, running, stair stepping, biking, tennis, basketball, volleyball and weight training. Personal fitness assessments are available as are internship and work study opportunities.

A member of the Northern Sun Intercollegiate Conference, UIU is Iowa's only NCAA Division II school. The athletics program offers six sports for men (baseball, basketball, football, golf, soccer, and wrestling) and six sports for women (basketball, golf, soccer, softball, tennis and volleyball).

Team Peacock raises scholarship funds while bringing together students, alumni, staff, faculty, and friends of the University for the (*Des Moines*) Register's Annual Great Bicycle Ride Across Iowa (RAGBRAI). UIU also sponsors a booth at the Iowa State Fair and participates in career and education events across the country.

A Faculty-Staff newsletter has been launched to enhance information sharing. The newly redesigned college magazine (*The Bridge*) is sent to more than 20,000 alumni. Alumni are also kept informed by web, email, Facebook and *Feather Notes* (online newsletter) and are invited to participate in Homecoming activities, open houses, and other events.

O3 Student and Stakeholder Requirements

As defined by the University Mission, UIU is student-centered; it serves an array of domestic and international learners from traditional, residential students on campus to adult learners in Centers and online, to graduate learners on-ground and online. Technology, including the web page, **myUIU** portal, and videoconferencing is used to keep the University informed about the needs of this diverse group. A wellness strategies course is provided for residential students and orientation sessions are held for Center students. Academic Advisors and full-time faculty stay in close contact with students throughout their careers at UIU. End-of-course student evaluations and instructors' course evaluations are reviewed; academic and operational concerns are addressed as needed.

Noel-Levitz surveys are used to define current student needs. Focus groups are regularly conducted to further examine issues. Results are analyzed for short and long term solutions to identified problems. Changes in military educational policies are monitored so UIU can effectively serve military students.

A current action project, “Enhancing Academic Support Systems,” connected to UIU’s strategic initiative three, Comprehensive Quality Enhancement of the Academic Program, is examining tutoring, academic advising, disabilities, counseling, and career development. Various initiatives are underway in these areas including a survey to identify AE needs in the career development area as well as tutoring options discussed in 1P8.

UIU’s Mission also promises flexible and multiple delivery options. In an effort to make all options more available to students, term dates have been aligned across the University to facilitate seamless movement among modalities.

AE students complete a senior survey including questions on student services. Analysis of the survey is published as part of the yearly Senior Project Analysis with action items directed to the appropriate location. Graduate and employer surveys are done at one and three years after students graduate with results published to the faculty and administration (See 3R1).

To better understand the needs of the communities in which UIU operates, UIU participates in a variety of community organizations such as Chambers of Commerce, Rotary and regional educational organizations. Each Center has an Advisory Committee to provide input to the Center coordinators and regional directors. Members of these committees may include local government and business leaders, alumni, faculty, consortium partners, and students.

[Competitors](#) are identified in every market served by the University. The new Office of Marketing and Communications is unifying the approach to marketing the “one flat global campus” initiative using cross-functional teams to develop strategies to reach UIU’s diverse markets. Consistent messages distinguish UIU as student-centered, exceptional and ascending, focused on developing global citizens prepared for leadership and committed to lifelong learning. In addition, providers such as Stamats and the Aslanian Group have been utilized to help UIU better understand and serve potential students.

O4 Administrative, Faculty, and Staff Human Resources

With the implementation of the strategic plan, position descriptions are based on goals and objectives cascading from the strategic initiatives to the top levels of administration and on to all administrative and staff positions. Faculty positions are similarly tied to program goals, and new programs specifically identify the faculty qualifications required. Adjunct instructors are hired based on academic credential templates designed for every course and approved by full-time faculty.

Currently Upper Iowa University employs 279 people full time and 402 part time for a total of 681. The breakdown as reported for IPEDS follows:

	Full Time	Part Time	Total
Faculty	53	382	435
Administration	147*	10	157
Support Staff	79	10	89
Total	279	402	681

**Two full time faculty members have currently been assigned administrative duties and were counted here among Administration instead of as part of the faculty.*

All hiring decisions are advised by committees. Every new full-time employee, from any campus or center worldwide, is required to attend a comprehensive orientation session on the Fayette campus. All University employees are required to complete sexual harassment training. All AE part-time faculty members complete an orientation session and sexual harassment training in an online format. Online faculty members complete a six week online training course.

The University has made a commitment to increasing the number of full-time faculty serving the AE and IP. Full-time faculty members serve at the four largest AE centers and in Hong Kong. These individuals are members of the Fayette campus-based academic divisions. A revision of the Faculty Handbook is planned to fully incorporate these faculty members into the tenure and governance structure. The goal is to have 51% of the coursework delivered through AE taught by full-time faculty. In addition, full-time faculty members head the MBA, MPA and MHEA programs. A faculty exchange program has been developed to encourage faculty members to teach across the University. RU and AE faculty have taught in Hong Kong, AE and IP faculty members have taught on the main campus and campus faculty have taught at AE Centers. Some campus faculty members teach for the CDE either online or for the Independent Study Program.

A need for improvement in human resources areas emerged from the Vital Focus/Conversation Day process. It was further supported by an employee survey specifically focused on evaluating human resources services. An action project was initiated to improve the communication and consistency of services to employees. This project resulted in the creation of the Human Resource Services Team, a Staff Welfare Committee and a Faculty and Staff Professional Development Committee. A training survey is conducted annually to determine needs and to develop an annual Professional Development Day. At the end of the day an open forum designed in a Conversation Day style format is conducted. Topics and issues surfaced during the forum are addressed by the president's cabinet, and other professional development opportunities are provided throughout the year.

O5 Leadership, Decision-making, and Communication

The UIU Board of Trustees approves all policies governing compliance with federal and state mandates. These policies cover a variety of issues including sexual harassment, non-discrimination, disability services, AIDS, Family Education Rights and Privacy Act, drugs and alcohol, and security reporting. The Human Subjects Committee has oversight of the human subjects' guidelines and reviews research proposals.

In addition to the Higher Learning Commission, UIU is reviewed by state educational agencies in Iowa, Wisconsin, Louisiana and Illinois, and by the Military Installation Voluntary Education Review (MIVER) process for military centers. Program specific reviews are conducted for the nursing, teacher education and athletic training programs. The Social Work Section of the Wisconsin Department of Regulation and Licensing reviews the human services major designed to meet social work training certificate requirements.

The Vital Focus and the AQIP steering committee identified areas in need of strengthening. Vice presidents for marketing and communications, advancement, the international program and enrollment management were hired. These new members joined with most of the members of the AQIP Steering Committee to form a President's Cabinet. With the initiation of this group and publication of cabinet minutes, a cultural shift to a more inclusive and open administration began. Other methods were initiated to communicate with the entire University, including yearly

budget presentations, state of the University addresses, University-wide e-mail messages and internal newsletters.

A three year strategic plan was developed in 2004, and a more extensive strategic planning process based on the revised mission and vision was undertaken in 2007 (see 5P2). The University's Board of Trustees oversees the alignment of the strategic plan with the University mission. The strategic initiatives define and prioritize goals and objectives for all University endeavors. The president provides guidelines for preparing Goals and Objectives statements, and the vice presidents and their staffs develop specific Goals and Objectives in a bottom-up process. Measurable outcomes are used as the basis for assessing the effectiveness of operational units. Progress on the initiatives is tracked by the President's Cabinet and published to the University in cabinet notes. A Strategic Plan Dashboard, currently under development, will track this progress graphically.

The Office of Advancement and Alumni Relations has been re-organized and new fundraising initiatives undertaken, including a Team Peacock entry in RAGBRAI, and fundraising Poker Run events annually in Iowa and Wisconsin. A formal alumni association was formed in 2007 and several large gifts and bequests to the University have been received.

The addition of a senior vice president for international programs and staff has resulted in an increase in international students on the Fayette campus and improved integration of UIU's mission and vision in the international programs. The president and other senior administrators regularly visit the international sites and teams are sent to provide intensive training for IP faculty and staff.

A succession plan was initiated for the first time, and in 2006 a performance evaluation system for senior executives was put in place.

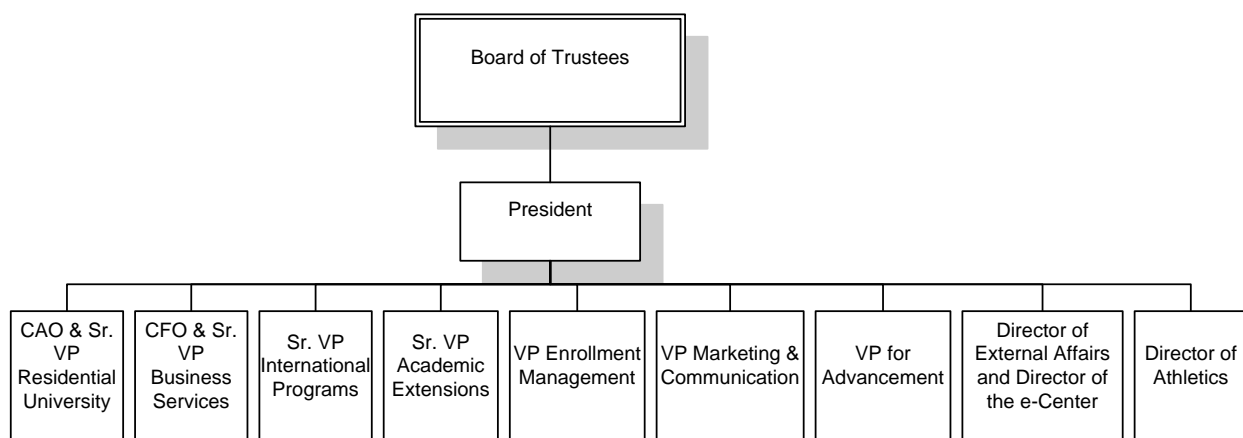


Figure O1 Upper Iowa University's Organizational Chart

O6 Administrative Support Goals

As a result of the AQIP training process, extensive reorganizations were undertaken in the Financial Aid and the Registrar's Offices. These quality improvement initiatives significantly improved the delivery of services as measured by monthly cabinet reports. Strategic initiative five, "Recommend policies and programs that strengthen the enrollment, financial aid, registration and advising services that contribute to the development of global citizens," and the first strategic initiative, "Introduce policies and programs that create the seamless movement of students and faculty," pushed these improvements to the next level with an expectation to

synchronize services across the entire University enterprise, so that students can move from one modality to another without barriers. Admission efforts have been enhanced with the placement of admission advisors for the Fayette campus at several AE Centers. Enrollment management strategies supported by the addition of a vice president level position are tracked and shared across the University. The action project “Jenzabar Internet Campus Solutions Implementation” supports these goals and resulted in the addition of online registration and grades.

The capabilities of the new online platform will facilitate more efficient and extensive data collection and analysis to improve the delivery of online courses. The University is also establishing a new center for the research, development, support and application of e-learning, e-commerce, and cyber security /information assurance as part of a larger facility master plan. As part of the overall growth strategy, the University has recently opened new facilities in Cedar Rapids, IA (2007), Rockford, IL and Hong Kong, S.A.R. (2008).

Administrative support has been enhanced by a university-wide e-mail system, and access to the internal data storage system. Computer software is regularly updated and hardware is replaced based on a rotation system designed and implemented by the Information Technology Department. Conference telephones, and in some cases, web cams provide connections across the University. Videoconferencing equipment has been purchased and installed with the expectation of use not only for course delivery, but also to enhance staff conferencing ability.

To protect students, staff, facilities and information an emergency response plan has been implemented and exercised in cooperation with local and county authorities. The plan includes critical incident response capability and back-up power support for Fayette campus. In addition, a central storage system-based business continuity and data recovery system is being implemented.

O7 Information Resources and Technologies

The new administration used AQIP to initiate a data driven culture. While the AQIP steering committee focused on ways to improve processes throughout the University, the president formed a cabinet to provide a forum to track the implementation of the quality improvements and discuss operational issues. Benchmarking identified salary issues. The President led the effort to increase base salaries for faculty and staff across the University by 26.4% in five years.

With the more transparent leadership style, the need to share data and results with the University community became apparent. A number of technological improvements facilitated information sharing. These included the implementation of an expanded and more inclusive e-mail system for all faculty, staff, students and alumni in 2007, installation of a web-enabled portal system, and connection of the AE sites to the formerly campus-based internal servers. In 2003, Jenzabar EX was installed as the primary system for institutional services and for the first time, the AE was able to connect directly with the system.

Information sharing took on new meaning with the initiation of a yearly budget presentation outlining the University’s progress for the previous year and direction for the upcoming one. Two live presentations are scheduled each year and a videotaped version is available on UIU’s website. The strategic planning process also reflected the more inclusive AQIP approach. The process started with AQIP steering committee and cabinet members, but systematically involved more University stakeholders as the group focused on key areas. Consequently, all UIU units base resource needs and measure effectiveness related to baseline data, performance indicators, objectives, and goals that are linked directly to the UIU strategic initiatives tracked by the cabinet. All outcomes are now shared with the entire community, so that all can understand

the need to collect and analyze data as the basis of demonstrating success and determining future steps.

One early action project on “Developing a Retention and Persistence Management Plan” developed systems across the University to track the essential components of student success. The project also identified the level of movement between delivery modalities taking place. A subsequent team reviewed this migration process and developed a system to not only track the movement, but to also credit both the location delivering the course and the location advising the student. The recognition of cooperation improved morale across modalities.

Results of academic efforts are also shared across the University. As artifacts representing each General Education task are collected and evaluated, results (see 1R2) are sent to faculty across the University using e-mail. Another example of an academic sharing tool is a folder on the UIU web page for faculty. This folder provides a variety of resources for AE and IP faculty. In addition, the yearly analysis of the Senior Project is posted there for all faculty members to review.

Since UIU operates in a variety of states, compliance with a variety of state-specific requirements is necessary. For example, in Wisconsin UIU developed a web-based survey method to collect required employment information immediately following graduation.

O8 Commitments, Constraints, Challenges, and Opportunities

With the help of a consultant and the oversight of the Board of Trustees chair, the president began a strategic planning process including the members of the AQIP steering committee and expanding to involve more UIU stakeholders. The committee produced a comprehensive analysis of UIU’s strengths, weaknesses, opportunities and threats (see 8P1). Many of the weaknesses listed have already been addressed including investing in the Fayette community, increasing the number of full-time faculty, improving the information technology infrastructure and staffing, and developing a cooperative internal atmosphere (see 8R2).

The initial phrase in UIU’s Vision Statement provides the commitment to “be recognized and respected.” One associated constraint identified was having accurate information available to potential and current stakeholders. This area is being addressed by the new marketing and communications department and vice president. The addition of full time faculty on the Fayette campus, at four AE centers and in Hong Kong along with the addition of new programs designed within a learning assessment framework will also build UIU’s recognition and respect. The commitment in UIU’s Vision Statement to be “exceptional and ascending” involves an expectation for growth. To that end, various strategies are being employed. These include hiring a vice president for enrollment management and developing a comprehensive enrollment master plan for the Fayette campus. Since migration to the online environment was documented by the student migration team mentioned in O7, a commitment to growth in this modality was embraced. The existing online delivery system is considered a constraint, so the decision to move to a more sophisticated online platform was made and is being implemented with UIU’s most recent action project. Investment was made in a study by the Aslanian group to better understand market constraints and opportunities in the Des Moines area to facilitate growth.

The vision of “developing global citizens who are lifelong learners” is a response to current cultural expectations and also addresses a constraint in this area for AE learners based on recent Senior Project results (see 1R3). The development of the position of senior vice president for international programs and an IP staff has already increased the population of international students on Fayette campus and brought more international opportunities for

students. The current action project “Aligning Majors with the University’s Strategic Plan” is looking at ways to improve global understanding within the curriculum. Lifelong learning is being facilitated by improved connections with graduates developed by the new vice president for advancement and alumni relations and plans to offer programs and services to alumni.

The final piece of the vision statement regarding developing “lifelong learners prepared for leadership within society” remains a challenge for the coming years. While many leadership experiences are available on Fayette campus, more structured opportunities need to be provided. In addition, curricular enhancements remain in the developmental phase at this point.

O9 Partnerships and Collaborations

The AQIP steering committee, by design, included membership across the University and created internal relationships where none had existed in the past. For the first time, parallel efforts are being coordinated with system-wide methods to better serve students. For example, a team project created articulation agreements with Iowa community colleges covering courses offered through the AE and Fayette Campus.

The AE maintains articulation agreements with over 70 community and technical colleges including the three Wisconsin technical colleges where UIU operates Centers: Blackhawk, Gateway, and Northcentral Technical College (see 9P1). The success of these articulations is measured by a Jenzabar report showing the source of new transfer students. Program to program articulations have also been developed linking associate programs to UIU majors. Examples include agribusiness, athletic training, conservation management, industrial technology, and clinical lab science.

UIU operates Centers in cooperation with the US Army on three military bases (Forts Leavenworth, Polk and Riley). Participation in GoArmyEd, Servicemembers Opportunity Colleges (SOC), Army National Guard Education Support Center, the US Coast Guard Institute and the Navy College Program Distance Learning Partnership have earned UIU the [designation of a military-friendly university](#).

UIU has developed corporate partnerships with a variety of businesses including American Family Insurance, American Public Works Association, Diebold, Fraternal Order of Police, Kum and Go, Starbucks, and Veridian Credit Union. UIU’s relationship with the Mayo Clinic allows students with a clinical laboratory science major to complete three years at UIU followed by one year of clinical instruction at the Mayo Clinic. The University also partners with three low-income communities (Fayette, Oelwein, and Maynard) and the Fayette Economic Development Commission to administer a three-year, USDA Rural Development grant.

In the Fayette area, UIU has established a regional economic development corridor and has awarded a number of local business development grants (See 9P5). A new position was created to better coordinate UIU’s relationship with external stakeholders resulting in activities such as an annual reception for legislators. The University has also been recognized with a tourism award for hosting NCAA events in Cedar Rapids, IA.

UIU’s Education Division has long term relationships with a variety of Iowa schools including North Fayette Community School District, Waterloo’s Central Middle School, Oelwein Middle School and Valley Community School District.

AQIP Category One. HELPING STUDENTS LEARN

1P1 General Education Objectives

The General Education tasks common to all Upper Iowa University associate's and baccalaureate degree programs are established by the faculty. An AQIP Team operating between 2005 and 2008, and including representative faculty from each Academic Division as well as from Academic Extension, identified eight Task areas (natural sciences, history, arts and humanities, mathematics, information systems and technology, behavioral sciences, communication, cultural awareness and sensitivity) linked to the University Mission. Further, it identified, within the context of these areas, a variety of specific tasks students would learn successfully to perform as they worked through the common General Education. During this process, a new core component in History was added to the undergraduate General Education requirements. A report documenting the process and procedures for general education assessment (see [General Education Assessment Report](#)) was reviewed and approved at the April 18, 2007, Faculty Meeting.

1P2 Program and Major Objectives

Specific program learning objectives are determined by the faculty responsible for the delivery of those programs. Industry needs and graduate success are both formally monitored through systematic surveying through the assessment office, and similar or competitive programs at peer institutions are monitored. In many cases formal agreements are reached with community colleges which feed their graduates into certain Upper Iowa University programs. The faculty in each major is responsible for formal assessment of program curricula once every four years and for justifying any resulting recommendation for program modification or shifting resource needs. These formal assessments are monitored and approved by the Academic Divisions. Program objectives can get re-evaluated when new faculty in a discipline are hired, commonly resulting in new or revised courses or programs.

1P3 New Programs and Courses

Since its admission into AQIP, Upper Iowa University has developed a systematic process for new program development. A new program proposal is prepared by faculty within the academic division expecting to offer the program. The proposal is justified through a combination of market research, peer institution review, regional needs assessment, professional organization curriculum guidelines, and existing on-campus synergies. It includes new course syllabi, goals and outcomes, an assessment plan, enrollment projections, and resource needs estimates. When Division approval of the program is secured, the proposal is taken either to the University's Curriculum Committee (for undergraduate proposals) or to the Graduate Curriculum Committee (for graduate proposals); each of these bodies includes representatives from the faculty in each division in the Residential University (RU), Academic Extension (AE) and International Programs (IP) as well as from the academic assessment and registrar's offices. The appropriate body reviews the proposal for academic merit and clear learning objectives, and it may either return the proposal to the originating division for further work or approve it and send it on to the Administrative Academic Review Team (AART). This last team includes the University president and the chief academic officer, who insure that the proposal fits with the University's vision and that it can be supported by the University's infrastructure, physical facilities, and financial resources. When AART approval is secured, resources are dedicated to initiate the program. A proposal for a new course follows essentially the same pathway (see Figure 1.1).

The process has thus far been used in the successful development of undergraduate majors in forensic science and in information technology (see [Approved Information Technology Major Proposal](#)). It also has been used in the successful development of the graduate Master's of

Higher Education Administration program. Potential majors in political science and history are currently in incubation.

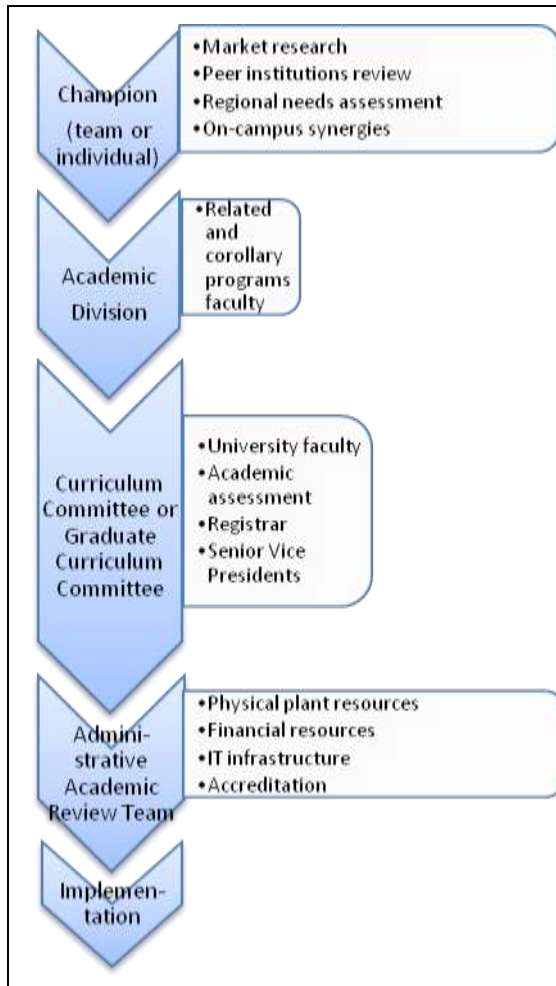


Figure 1.1 Process for new programs and courses at Upper Iowa University

1P4 Integrating Goals with Student and Employer Needs

The office of academic assessment surveys alumni one and three years after graduation, and their employers. Data provided by these surveys are shared with the divisions and become a part of each major's quadrennial self-assessment where they provide evidence either of program success or of program needs. Advisory committees at each AE Center meet regularly to provide information regarding employers' needs in the particular community and suggest how Upper Iowa University might help meet those needs. The vetting process applied to new course or program proposals (see IP3) helps ensure that all such programs either anticipate or respond to actual marketplace and stakeholder needs.

1P5 Determining Student Preparation for Programs

All entering students must meet the criteria for admission approved by the Board of Trustees for the particular programs. An entering RU freshman must present an official transcript indicating high school graduation, a minimum 2.00 (4.00 scale) high school grade point average, and an overall ACT score of at least 16 (or SAT equivalent). A student who meets only one of the latter two criteria may apply to a faculty review committee for a waiver. An entering transfer student must present an official transcript showing that he left a previous accredited institution of higher

learning in good academic standing and a high school transcript showing a graduation date. An entering graduate student must present an official transcript showing successful completion of a bachelor's degree at an accredited institution; additionally, the prospective student must show evidence of completion of any specific requirements identified in the particular graduate degree program. An entering international student must follow the basic admissions criteria outlined above (except the ACT/SAT results); furthermore, international students must meet minimum English proficiency and financial support standards in order to qualify for U. S. Immigration documents.

As part of the initial registration process, each undergraduate student on the Fayette campus is tested using ACCUPLACER for English and mathematics proficiency; students know immediately whether they should be in one or more foundations courses, or perhaps in an advanced placement, and are advised accordingly. A student may receive elective credit, but not General Education or major credit, for up to two foundations courses taken at the University.

A student who does not speak English as a primary language must also meet English language proficiency requirements either by providing documentation of minimum TOEFL or equivalent score (see [Language Proficiency Requirements](#)) or by enrolling in the ESL program.

Adult students entering AE must present evidence of high school graduation or GED equivalence and official transcripts from all previous institutions. Active duty military members, reservists and veterans submit relevant documentation of military training and education.

International students enrolling in programs offered at the various Upper Iowa University international center locations must provide academic credentials verifying completion of secondary education in their home country or equivalent; advance level ('A' level) examination results or equivalent; an official transcript from each institution where post-secondary credit was earned; and verification of English language proficiency.

Once admitted, a student is assigned an academic advisor who will help to ensure that courses are taken in sequence, that basic skills are learned and exercised, and that the curriculum chosen is appropriate to the student's background and aspirations. Grades are monitored in the registrar's office and progress is communicated to both the student and the advisor so that, when necessary, timely remediation may be sought.

Student evaluations completed at the end of each course (and, in AE, mid-course) provide instructors with feedback regarding overall student satisfaction with preparation expectations.

Students may apply for experiential learning credit. Upper Iowa University follows the Council on Adult and Experiential Learning (CAEL) standards in assessing experiential learning portfolios.

1P6 Communication of Preparation Requirements and Learning Objectives

In all segments of the university, required preparation and learning objectives are communicated to current and prospective students formally through the University catalog, the academic advising system, and the literature developed through collaboration among enrollment management, marketing and communication, and the faculty. Prospective students are also given information about financing education, including information about federal Pell grants, Iowa tuition grants, and Stafford Loans.

At the Fayette campus, prospective students are encouraged to visit and meet with faculty in the programs they are planning to enter into. After students have submitted a deposit, they are scheduled for an OAR (Orientation, Advising, and Registration) Day. During the OAR program,

students and families are given an orientation to UIU, and they meet with an academic advisor to choose classes for the next semester. Throughout this process, students and families are informed of what will be expected of the students while they are enrolled. For example, one session during the OAR day involves a faculty member discussing student expectations with new students and their parents. Faculty members carry out advising activities one-on-one with new students during the OAR day, and they provide information as to faculty expectations and how to achieve success in collegiate study.

All freshmen at the Fayette campus are required to take a wellness strategies class, which is designed to acquaint them with requirements and various services on campus. One session of this course involves a panel discussion, where a faculty member from each academic division discusses general class expectations with students and provides them with class preparation tips.

For AE learners, advising staff and full time faculty conduct evening or individual orientation sessions. When a student decides on a major, the student is given a copy of the goals for that major; this document identifies the learning outcomes and courses that are part of the program, and includes information on disability services, a brochure on career and educational planning solutions, general education outcomes, and the degree plan for the major.

In the International Programs, student orientation involves a discussion of the first-year International Collegiate Education Program (ICEP) General Education classes. Students receive pre-arrival emails with information on ICEP required courses and credential evaluation of transfer credits.

At any time, students can access the appropriate University catalog to obtain information about specific programs and courses of interest to them, including prerequisites for specific programs or courses and degree requirements. In addition, course syllabi are given to students at the beginning of each course in which they are enrolled; syllabi contain specific information on course content, prerequisites, General Education tasks (if applicable), major program outcomes, specific course learning objectives, and instructor expectations for the course.

1P7 Assisting Students in Program Selection

Throughout the university, students are required to meet with an academic advisor each term; this meeting helps to assess whether the major is consistent with the student's interests, goals, and abilities. All advisors have an Advisor's Handbook that assists in providing consistent and quality advising. UIU enrolls a significant number of "undecided" students. As a result, the advising system has developed strength in helping students find their area of study by examining with them their specific interests.

At the Fayette campus, freshman students in the wellness strategies course take interest/aptitude tests and engage in aptitude/interest activities such as [StrengthsQuest](#) and [FOCUS](#). The wellness strategies class also has a career component that includes a "What Can I do With This Major?" segment. These are also available online.

In International Programs, the first year of study involves completing the ICEP certificate courses. In ICEP, students learn about undergraduate programs and majors which will aid them in selecting programs that fit their career goals, aptitudes, and abilities.

1P8 Assisting Underprepared Students

Across the university, foundations courses are available for students who are underprepared. These courses are designed to help students bring their skills up to acceptable levels.

For more traditional students, placement decisions are made based on assessment tests, such as the ACCUPLACER (see 1P5). In addition to ACCUPLACER, academic support services include the Tutor Center and Writing Lab, a calculator check-out, and a website with information regarding the services, appointment scheduling, hand-outs and links to useful sites for writers. PAL (Peer Assisted Learning) pays students to serve as mentors in classes in which they have excelled. These mentors model successful classroom behavior, and conduct study sessions with peers who desire assistance with appropriate study strategies.

An internally developed math placement assessment is used to determine adult student learners' needs for foundational math classes. Also, students in the AE and IP have access to SmartThinking.com as an online tutoring service, which after the initial evaluation may be adopted in all UIU locations (see 1P15). Additionally, international students for whom English is not the primary language may choose to enroll in a one-year intensive English as a Second Language (ESL) program. Students first are tested to determine placement, and then the student must satisfactorily complete coursework series in order to matriculate into undergraduate-level programs within the University.

1P9 Addressing Differences in Learning Styles

A primary way that Upper Iowa University addresses differences in students' learning styles is by having multiple modalities available for course delivery. Students can choose the delivery modality that best meets learning style needs from several options: traditional (face-to-face), online, independent study, or a hybrid course format.

Across the university faculty are encouraged to include a variety of activities into their courses so that various learning styles are accommodated. While most learners have a preferred learning style, with some being more visual and others being more verbal in their preference, most college students are multi-dimensional. Someone who can learn in only one dimension is typically considered to have a learning disability. Students with any type of disability, including a learning disability, are required to submit documentation of that disability. Across the University, students with learning disabilities are accommodated in a variety of ways, including reading tests to students, providing extra time for students to complete tests, or offering students special assistance such as books on tapes.

1P10 Addressing Special Needs

Upper Iowa strives to be compliant with the Americans with Disabilities Act. At the Fayette campus, students with learning disabilities file documentation with the Office of Student Development Counseling Center. In the AE, documentation is submitted to the disabilities compliance coordinator. Within legal parameters, every effort is made to follow the recommended adjustments of diagnosing physicians and clinicians.

As new buildings are built or leased throughout the University, they are made handicap-accessible; classroom space, hallways, entryways, and facilities are being designed and built to accommodate handicapped students and staff. Older buildings have been modified for accessibility as well.

For students who are unable to attend classes due to weather conditions, or other mitigative factors (e.g. athletic participation), the Tegrity lecture capture system allows them the ability to view lectures from their home on the internet.

1P11 Defining Expectations for Effective Teaching and Learning

Upper Iowa University provides a number of system tools to communicate its vision of effective teaching and learning across the enterprise. The [General Education Assessment Report](#),

developed through AQIP, contains a detailed overview of the General Education philosophy, processes and learning expectations. The report is updated regularly in the assessment office; updates result from recommendations from individual team reports assessing student success in mastering the assigned General Education tasks, and are approved by the faculty.

Faculty teaching is evaluated regularly both by division chairs and by faculty peers. An untenured faculty member on the Fayette campus, whether adjunct or full time, is assessed annually by the division chair according to standards and expectations are communicated clearly in the [Faculty Handbook](#) (2008-2009 edition, pp. 83-87); these annual evaluations are signed off on by both the chair and the affected faculty member and become the foundation for a tenure applicant's portfolio. In Academic Extension, evaluations of adjunct faculty are made by the center coordinator, while evaluation of full time faculty is made by the division chairs. Additionally, a minimum of two peer evaluations is required for the completion of a tenure applicant's portfolio. Standards for these evaluations are published in the [Faculty Handbook](#) (2008-2009 edition, p. 88).

Each course is evaluated by its students according to criteria common across the University. A faculty member is given the complete results of her own student evaluations together with summary information allowing her to compare her scores with those of her division peers as a whole. These evaluations are reviewed by the division chair as part of the annual evaluation for non-tenured faculty, and they are copied to the chief academic officer for his use and the use of the Faculty Personnel Committee. A copy of the evaluation form may be found in the [Faculty Handbook](#) (2008-2009 edition, pp. 90-91).

Formal faculty in-services are held each August; best practices are introduced and modeled, and development opportunities are offered. Each Center in AE provides systematic development programs for adjunct faculty; those Centers employing full time faculty utilize this resource in those development programs.

As a component of the quadrennial self-evaluation process, each academic major identifies and continually monitors its goals and outcomes for student learning, and these goals and outcomes are articulated in course syllabi. Major outcomes are approved by the faculty in the academic division in which the major is housed. End-of-course surveys since 2006 affirm that between 95.4 and 98% of students agree that the outcomes taught and tested for in University courses are those identified on the course syllabi. Any new course or new program proposal includes its specific learning outcomes.

1P12 Building Effective Course Delivery Systems

Adherence to continuous quality improvement principles in recent years has allowed the University to design a variety of learning spaces as it constructs new facilities both on the Fayette campus and in AE; students and faculty alike have been directly involved in building design on the Fayette campus and in the Cedar Rapids and Rockford Centers.

Faculty determine optimal class sizes in accordance with professional organization recommendations (e.g. M.L.A., A.P.A.), and the registrar caps enrollment accordingly. Exceptions may be made only with instructor permission. Online and independent study options are available to students who encounter schedule conflicts or unavailabilities. Training of all online instructors prior to their first online course offering provides continuity and quality assurance to the online delivery mode. On the Fayette campus, an updated three-year rotation schedule of courses is distributed annually to academic advisors to help reduce class conflicts. Course scheduling in AE is done annually to accommodate the continual influx of transfer students. The limited number of majors offered in these programs facilitates efficient use of

facilities and course sequencing. Intake into the graduate, nursing and ESL programs is timed so that an entire cohort completes its required courses in sequence. On the recommendation of the division chair, the chief academic officer may authorize additional sections of a scheduled course if over enrollment is anticipated in Fayette; in AE and IP, such a decision is made by the Center or site coordinator.

Academic advising on the Fayette campus ensures that an undergraduate's work or athletic schedule, commuting distance or parenting responsibility, is taken into account in determining the student's course schedule. Typically all AE programs, as well as RU graduate programs, conduct classes primarily in the evenings or on weekends, as students in them are for the most part employed during the day.

1P13 Ensuring Programs Are Up-to-Date and Effective

Each major is responsible for a complete self-assessment once every four years in fixed rotation, referred to as a quadrennial report. Part of this report (see [Quadrennial Report Guide](#)) focuses on comparing the program being assessed to comparable programs at other institutions, which presumably provide a check-and-balance to ensure a program is current and relevant. Recommendations for modification of curriculum structure, course content, or major goals and outcomes are generated through this process and presented to the appropriate academic division. However, faculty may at any time propose curricular modifications to existing programs. Such proposals proceed through the academic division to the Curriculum Committee or the Graduate Curriculum Committee for action.

Faculty is encouraged through a variety of professional development initiatives outlined in the Faculty Handbook to maintain awareness of industry best practices as well as of new developments in the disciplines. A professional development budget line item ensures that full time faculty, who are responsible for program development across the University, have access to professional meetings and conferences. Participation in professional development activities is required for tenure consideration (see [Faculty Handbook](#), 2008-2009 edition, p. 22) and is strongly encouraged among senior faculty. Additionally, faculty members compete for access to a separate summer stipend pool administered through the Faculty Personnel Committee. Last, the University president has established a separate competitive grant program funding faculty efforts to incorporate emerging technologies into the classroom.

Formal external evaluators helping to ensure the currency and effectiveness of Upper Iowa University's educational programs include the Iowa Department of Education, the Wisconsin Educational Approval Board, the Commission on the Accreditation of Athletic Training Education, the Iowa Board of Nursing, the Social Work Section of the Wisconsin Department of Regulation and Licensing, and the Military Installation Education Review. Additionally, Upper Iowa University participates in NAFSA: Association for International Educators. Advisory committees including local business and civic leaders work to maintain program currency in each Center operated through Academic Extension.

1P14 Changing or Discontinuing Programs and Courses

In 2003, the faculty proposed a protocol for the discontinuance of a program or major which would include the elimination of a tenured faculty position. The protocol involves review by a subcommittee of the Faculty Welfare Committee; however, this protocol has not been tested.

A faculty member proposing to eliminate a course in a teaching area takes this proposal together with its justification to the academic division for discussion and action. If the division approves removal of the course, the appropriate curriculum committee is notified. Normally such a proposal is made only when faculty members in the affected discipline conclude that the

course is outdated and no longer serves the discipline or the students usefully; it is usually accompanied by a proposal for a new, more appropriate course to take its place. The registrar receives notification of course elimination and then revises the appropriate University catalog.

1P15 Addressing Learning Support Needs

The growing student population, as well as the push to become a seamless university, still poses some challenges for the future. In preparation for these issues an AQIP action project (Enhancing Academic Support Systems) has been convened that focuses on student success, and improvements are continually considered and evaluated in light of the needs of the University's evolving student population. With regards to this, the online tutoring service, SmartThinking.com, has been engaged to help off-campus students develop their writing skills, and a pilot program has been run with the Des Moines Center in which writing students received written feedback from peer tutors on the Fayette campus.

With regard to advising support, attempts are made by the RU coordinator of academic success to pair a new student with a declared major to a faculty advisor who teaches in that major as early as an OAR day, when possible. Students who change majors have the opportunity to keep their original advisor or switch to a new advisor in that major field; however, students can request a change in advisor at any time. In the AE and IP, students may be assigned either an academic advisor or a full time faculty member. Throughout the University, faculty has access to an advising handbook and periodic advising training sessions are held. Advisors assist advisees to register online using **myUIU**.

With regard to library services, the Library Committee, a standing committee with faculty and student participation, has responsibilities that include library budget allocation, library hours, workspace allocation (and renovation, recently), and investigating new literature search strategies.

With regard to laboratory space, most classrooms in the science building on the Fayette campus are dual-purpose lecture and lab spaces. This allows instructors the flexibility to perform lab demonstrations during lecture periods, as well as to use multimedia tools (e.g., videos, PowerPoint, Internet websites, microscope camera equipment, and overhead Elmo capabilities) in real-time during the lab experiences, when appropriate.

1P16 Aligning Curricular and Co-curricular Development Goals

Upper Iowa University's curricular and co-curricular development goals and objectives are driven by the University Mission and Vision via strategic initiative four in the Strategic Plan. The mission stresses student development "in an environment in which diversity is respected, encouraged and nurtured," and the vision is of "global citizens... prepared for leadership within society." To help ensure the alignment of curricular and co-curricular objectives, the Student Development Office is represented on the President's Cabinet, the AQIP Steering Committee and the Council for Residential Studies as well as on the Student Development Committee. The dean of student development reports directly to the chief academic officer, and the chair of the Athletics Committee holds a permanent seat on the Curriculum Committee. Committee and reporting infrastructure ensures close and continuous communication among academic programs, athletics and student development. Students serve on most standing University committees as well, including the Council for Residential Studies, the Athletics Committee, the Student Development Committee, and the Teacher Education Committee.

Each student club, fraternity, or other organization recognized and supported by the University has a charter or constitution aligning its purpose with the University's goals, and a faculty advisor to help it maintain that alignment. Eight of these organizations are classified as

social/service, and each of them is responsible for original diversity programming at some time during the academic year. Examples of student organizations' participation in curricular initiatives include the Science and Environment Club's annual partnering with an ecology class and local conservation officials to initiate and control prairie burns, and the business fraternity Phi Beta Lambda's success in regional and national business exercise competitions.

Student Government and the Student Activities Board, along with clubs and organizations, provide a variety of leadership training opportunities and activities overseen by faculty and student development office staff. Three hundred nine students, approximately 38% of residential students, participated in one or more of these activities during the 2008-2009 academic year. The athletics program offers significant leadership training opportunities as well; 331 individual students—approximately 40% of all residential students—were involved in intercollegiate athletics during the 2008-2009 academic year.

Both academic and athletic recruiting have expanded their scopes to ensure that Upper Iowa University remains true to its mission's commitment to diversity. As a result, the Fayette campus is home to students from fifteen countries in Europe, Asia and the Americas as well as from seventeen states. Department of Education statistics referred to in *The Chronicle of Higher Education* (Volume 55, Issue 5, Sept. 26, 2008) indicate that Upper Iowa University's Fayette campus is highly diverse compared to other Iowa colleges and universities. Many of the adult learning centers also are quite diverse.

1P17 Awarding of Degrees and Certificates

All students must meet requirements set forth in the Upper Iowa University catalog in order to graduate. Advisors monitor student progress in completing General Education requirements, major requirements, and credit hour requirements, including electives if electives are necessary. The Registrar's Office ensures that all requirements have been met before the student graduates.

All students across the university have a capstone experience. The type of experience varies according to modality and area of study, but all incorporate a requirement that students have accomplished both general education task competencies (see [General Education Assessment Report](#)) and the objectives of their respective majors. At the Fayette campus, some majors require a capstone project in which students demonstrate that they have accomplished both the general education tasks and the major objectives. Other majors require an internship which involves the student working in an occupational setting directly related to the student's major. For example, many criminology majors serve as interns at a nearby correctional facility. Student intern capstone experiences are assessed in two ways to determine their accomplishment of learning and development expectations. One avenue of assessment is the site evaluation, which is provided by the site supervisor in the field where the student is doing the internship. The evaluation by the site supervisor helps to determine if the student has accomplished the major goals and objectives, particularly in professional programs where major goals and objectives are linked to career competencies. The second avenue of assessment involves an assignment submitted to the faculty member supervising the internship. Both the general education competencies and major objective accomplishments are assessed when the internship assignments are graded.

1P18 Designing Processes for Assessing Student Learning

One of Upper Iowa University's first AQIP projects that addressed *Helping Students Learn* involved shifting the assessment of student learning of General Education requirements from a teaching based assessment to a learning based assessment (see [General Education Assessment Report](#)). Rather than assessing whether General Education skills were being

taught, an AQIP team developed a process through which faculty can determine that students have learned to perform the General Education tasks, thus indicating that they have accomplished the General Education objectives. A General Education Assessment Team has been formed, and is early in the process of establishing data collection practices that will demonstrate effectiveness, but early assessment indicates that a learning-based focus is a more effective way of assessing student learning than the previous teaching-based focus.

A learning-based focus is now becoming a part of the culture of Upper Iowa University. One way in which this cultural change is manifest is that majors across the University are beginning to adopt a learning-based task assessment approach evaluating how well students are accomplishing major objectives.

1R1 Measuring Students' Learning and Development

Collection and documentation of evidence of student learning is certainly important; however, if the process is merely obligatory, the evidence becomes meaningless. One significant improvement during Upper Iowa University's participation in AQIP has been the recruitment of new faculty with strong academic credentials and a passion to motivate students to learn. Routine self-assessment of student learning by these instructors comes naturally, and this must be recognized herein. It has spurred a new culture of voluntary review and improvement among the majority of faculty members. In the context of this framework, the assessment process outlined below only provides a snapshot of this new academic culture.

One of the first AQIP projects developed was a transformation of the assessment of General Education requirements. For some time, General Education assessment was teaching based. General Education course syllabi specified the assigned outcomes and how they would be presented; at the end of each term, students were asked to complete a questionnaire indicating how well they thought the class addressed the various General Education goals. Through AQIP, the University changed that approach and adopted a learning focused assessment strategy (see 1P1 and 1P18). Each term, faculty who teach General Education classes are expected to turn in a self assessment of how well students performed the task in their classes (see [Faculty Self Assessment Form](#)). It remains something of a challenge to encourage all faculty teaching General Education classes to submit the forms, but the Office of Academic Assessment is working on increasing submission rates.

In addition to the self assessments that faculty are expected to submit each term, artifacts are collected for one task from a sample of classes across the University that focus on the targeted task. The General Education Assessment Team then assesses how well the artifacts indicate that the task has been accomplished. Those results can be compared with the self assessments that faculty submit to help determine how accurate the faculty self assessments are (see 1R2).

With regard to measuring student learning in major programs, each program may be different. One example of this involves assessment of science majors (e.g., biology, conservation management, etc.) who participate in a capstone experience, usually in their senior year, which typically involves literature review, data collection, and summation of the experience in both a written paper and an oral presentation. Each student works with one faculty member who acts as the project advisor and who evaluates the written paper on a series of items that can be tied to general education and major competencies. Additionally all science faculty who attend an oral presentation session are invited to evaluate each student on an additional series of items that can be tied to these competencies (see 1R3).

In another example of assessment with majors, the Education Department collects data from multiple stages as students progress through the program at all locations where teacher preparation is offered: Fayette, Waterloo, and Des Moines. These include knowledge of the Iowa Teaching Standards during field experience; evaluation of the student teacher by a University supervisor and cooperating teacher; and evaluation of the Teacher Work Sample. In addition, all education students must pass a basic skills competency test to be admitted into teacher education and all elementary education majors must pass the Praxis II exam for licensure.

1R2 Performance Results for General Education Learning Objectives

Performance results for the general education task are collected from faculty by the Office of Academic Assessment, using the self assessment form addressed in 1R1. Each faculty member who teaches a course in one of the General Education task areas (arts and humanities, behavioral sciences, communication, cultural awareness and sensitivity, history, information systems and technology, mathematics, and natural sciences) is required to submit an assessment of how well students accomplished the General Education task being addressed in the class. At this point two years of self assessment data have been collected. Summaries of the General Education self assessment data for the 2007 -2008 and 2008 - 2009 academic years are shown in Figure 1R2.1. The results identify the differences in the percentages of students enrolled in the course who have been identified by instructors as having completed the General Education task at various levels of competency. Descriptive statistics indicate that instructor perceptions of student accomplishment of the tasks were similar across the two year period.

Instructors reported that 48% of their students attained a high level of competency in 2007-2008 as compared to 46% in 2008-2009. In 2007-2008 the percentage of students who were at a high or moderate level of competency was 76% and in 2008-2009 the total percentage was 77%. Overall, students were perceived to be at similar percentages for the high and moderate levels of competency. This is further depicted in Figure 1.2. Both the table and the bar graph indicate that in both years, instructors perceived that most students were accomplishing the task at high or moderate levels overall.

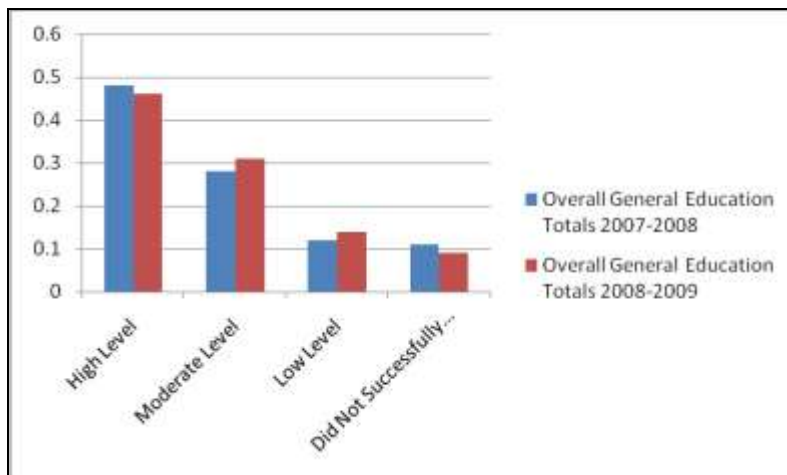


Figure 1.2 Results of overall General Education Self Assessments for 2007-2008 and 2008-2009

The instructors' overall perception decreased for students achieving high competency and also decreased slightly for those that did not successfully complete the task. The other categories of moderate and low levels of competency increased slightly in 2008-2009.

Another way performance results are analyzed is by comparing the self assessments submitted by faculty with an assessment report generated by the General Education Assessment Team. To generate this additional means of assessing outcomes, a General Education Assessment Team of eight members has been formed. The team includes at least two members from the faculty of the Division of Liberal Arts and at least one member of the faculty from each of the other three academic divisions; it includes faculty representation from Academic Extension as well as from the Residential University. One team member is chosen from its ranks by the faculty within each division; the other four are chosen by the director of academic assessment in cooperation with AE senior management and the division chairs. The director of assessment chairs the team but is not construed as a team member. Team members are compensated by the University for involvement in assessment activities. Academic divisions are encouraged to identify representative team members as resource persons for major assessment, but the focus of the team remains on assessment of the General Education tasks across disciplines. Each team member directs the overall assessment procedure as it involves one General Education task area. A two year rotation of task evaluation has been developed, with one task area slated for evaluation each term. When a task is evaluated by the General Education Assessment Team, instructors are notified by the Office of Academic Assessment, and a maximum of 20 artifacts is collected from each of eight classes distributed across the University to ensure representation from each of its residential, center, independent study, online and international components.

Starting in the spring of 2007-2008, the General Education Assessment Team began collecting artifacts from classes to compare faculty self assessment data with the assessment of tasks. To date, two reports have been completed. The first report used artifact data collected from writing classes for a written communication general education task (see [Written Communication Assessment Report](#)). The assessment team report was then compared with the faculty self assessment data collected. The General Education Assessment Team reported that 57% of the students accomplished the task. Faculty self assessments reported that 89% of students accomplished the task. The discrepancy is substantial, and faculty has been made aware of that discrepancy. The second artifact collected was the Information Systems and Technology task (see [Information Systems & Technology Assessment Report](#)). The team reported that 85% of the students accomplished the task, which is very similar to the 88% success rate reported in faculty self assessments. Artifacts for the science, history, humanities, and behavioral science tasks were collected during 2008 - 2009 and are currently being analyzed and reports are being written.

One other measure of student learning is the Collegiate Learning Assessment (CLA), which measures student learning from when they enter as freshmen to the point when they graduate. Two years of data show that compared with other institutions, Upper Iowa University falls in the top 25% of schools who use the CLA measure when examining what students gain from freshman year to graduation (see 1R6).

1R3 Performance Results for Major Program Learning Objectives

Involvement in AQIP and the transformation of General Education assessment to a learner based approach has produced a cultural shift at Upper Iowa University. As a result of this shift, specific majors are now moving in the direction of using a task based approach to the assessment of majors. While several majors are moving in this direction, biology serves as an example insofar as that major has most completely accomplished the transformation from a

teaching based to a learner based major assessment. The assessment process assigns a task to each required course in biology, which addresses a biology major goal (see 1I2).

Students in all majors at the Fayette campus have some type of capstone experience in which they demonstrate that they have accomplished the goals of the major. For example, data from science major capstone assessment (as outlined in 1R1) were obtained for student performance on science-based competencies (i.e., scientific reasoning, problem solving, and quantitative reasoning skills). A summary of data for the science capstone assessment process from the past two academic years indicates that aggregate means for these science-based competencies centered near a value of 4 (or “good”) on a 1-5 scale, with means ranging from 3.92 to 4.12 (see [Science Capstone Assessment Results](#)).

In the Academic Extension, students have a capstone experience that assesses the learning of both general education tasks and major outcomes (see [AE Senior Project Assessment Results](#)).

1R4 Evidence of Acquired Knowledge and Skills

Since 1999, the assessment office annually surveys graduates after one and three years, and it surveys their employers. Responses over time from alumni show an employment rate in a field closely related to their academic major of 53-65%, and an overall employment rate of 94 to 98% (excluding those not looking for work). Eighty-nine to 91% of responders are “satisfied” or “very satisfied” with the quality of Upper Iowa University’s academic programs; one to three percent of responders are “dissatisfied” or “very dissatisfied.”

Surveys of employers consistently show high levels of satisfaction with the University’s graduates and little deviation in those levels from year to year. Employers are asked to rate the graduates in several areas according to whether the graduate exceeds, meets, nearly meets or does not meet expectations (4 = exceeds, 3 = meets, etc.); means for 1999 and 2006 graduates are shown below in Table 1.1:

	Communi cation	Work in teams	Problem solving	Organizati onal skills	Responds imaginativ ely to problems	Technical skills	Skills related to major	Understan ding of organizati onal dynamics	Ability to do job
1999	3.3	3.49	3.35	3.34	3.17	3.4	3.3	3.23	3.83
2006	3.46	3.44	3.35	3.49	3.29	3.41	3.22	3.33	3.55

Table 1.1 Results from Employer Surveys in 1999 and 2006

Complete results and comments are on file in the Office of Academic Assessment, and employer comments are used as resources in the quadrennial self-assessment reports of each major.

Surveys show only about four percent of Upper Iowa University graduates entering graduate school within three years of attainment of the baccalaureate. Anecdotal evidence provided in quadrennial self-assessments by the various majors suggests that the University’s graduates are successful in graduate programs wherever they apply. See 1R6 for documentation of this in the biological sciences.

The assessment office keeps track of individual student scores received on such nationally standardized tests as the GRE and the LSAT. However, not all students choose to send their

scores to Upper Iowa University, which results in limited and potentially biased data that are difficult to analyze or interpret.

1R5 Performance Results for Learning Support Processes

Alumni are surveyed one and three years after graduation to determine their satisfaction with the University's academic and co-curricular support systems. Results are shared with the appropriate offices, and records are maintained in the Assessment Office. Table 1.2 shows overall alumni satisfaction with various University support systems, and then breaks the numbers down for RU and AE programs.

	Academic Advising	Health and wellness	Academic support	Library services	Career planning
Fayette	3.07	2.93	3.10	3.34	2.36
AE	2.50	2.14	2.34	1.91	1.80
UIU	2.66	2.29	2.46	2.20	1.91

Table 1.2 Results from One and Three Year Graduation Surveys. Results are based on a 0-4 scale (0 = Very dissatisfied ... 4 = Very satisfied)

In general, RU students are considerably more satisfied with these services than are AE students. A current AQIP project seeks to make library, academic support and career planning services more accessible to the realm of Academic Extension.

It is difficult to compare Upper Iowa University's library use and resources with those of other institutions because of the nature of the University. Most students are enrolled in Academic Extension; library resources are available to them online, but very few are in a position to use the building itself. When library use, spending, and staff size are viewed in the context of full time students enrolled on campus Upper Iowa University ranks 22nd of 31 Iowa private colleges for library expenditure per student and 15th in spending per full time faculty member. Upper Iowa University also is in a five way tie for 14th place among those same colleges and universities for number of full time librarians (four) employed. Twenty-three Iowa private colleges spend more on library services; seven spend less. Results from the recent survey of graduates displayed above in Table 1R5.1 indicate a considerably higher library satisfaction rate for Fayette campus graduates (mean of 3.34) than for graduates in Academic Extension (mean of 1.91). This discrepancy is being addressed by an AQIP action project group.

A new learning support system being implemented is the Tegrity lecture capture system. Tegrity was used on a trial basis for three academic terms by six faculty members. Survey data of the students and faculty in each class were collected and analyzed. Student and faculty testimonials were also collected. A written report, including results, was presented to the faculty, as well as to the president (see [Tegrity System Faculty Update Report](#)). Based on these data, and the systems alignment with a strategic initiative, it was decided to implement the system on the RU campus. A similar trial and process will now proceed in the AE during the 2009-2010 academic year.

1R6 Comparisons of Results with Other Organizations

A good comparison of student performance results with other higher education institutions is evidenced in results from Upper Iowa University's participation in the Collegiate Learning Assessment (CLA). Upper Iowa University is one of approximately 191 American colleges and universities participating in CLA's longitudinal study of General Education skills and competencies learned through an institution's General Education program, involving testing of

freshmen and seniors. To date, only RU students from Upper Iowa University were used in the study. In 2007, its first year of participation, Upper Iowa University ranked 14th (92nd percentile) among this cohort for value added to its students' problem solving and critical thinking abilities (see Table 1.3). In 2008, the University ranked in the 75th percentile.

Survey Item	Freshmen Score Percentile Rank	Senior Score Percentile Rank	Value-added Difference Percentile Rank	Performance Level
Total CLA Score	6	20	75	Above average
Performance Task	14	18	59	Average
Analytic Writing Task	4	34	91	Well above
Make-an-Argument	7	32	84	Above average
Critique-an-Argument	6	34	85	Above average

Table 1.3 Results of value added learning enhancement for Upper Iowa University compared to other institutions in the 2009 CLA survey

CLA's 2008 statistics rank Upper Iowa University's first year retention rate as "Average," its four-year graduation rate as "Above Average" and its six-year graduation rate as "Well Above Average" among American colleges and universities (see Table 1.4).

Survey Item	Actual Value (%)	Expected Value (%)	Deviation Score	Percentile Rank	Performance Level
First-year Retention Rate	63	63	0	49	Average
Four-year Graduation Rate	33	24	0.8	82	Above average
Six-year Graduation Rate	47	37	1.1	90	Well above

Table 1.4 Results of retention rates for Upper Iowa University compared to other institutions in the 2008 CLA survey

Evidence of student performance results from sources outside of higher education can be gathered from several sources. For example, employers responding to surveys have expressed overwhelming approval of the educational competence of Upper Iowa University's graduates since surveying began in 1999 (see Table 1.5).

Survey Response	Year of Graduation*					
	1999	2000	2002	2003	2005	2006
Very satisfied	58%	54%	60%	65%	58%	55%
Satisfied	40%	45%	40%	34%	40%	41%
Unsatisfied/No response	02%	01%	00%	01%	02%	04%

* No survey data for 2001; data not currently available for 2004, or 2007.

Table 1.5 Results of employer survey responses to the question "How satisfied are you with the graduate's college education?"

Some indirect evidence of student performance comparisons can be inferred from the fact that several of UIU's professional programs are certified or recognized by professional organizations or agencies. Specifically, Upper Iowa University's teacher education, nursing, and athletic

training programs are certified by their respective state or national governing boards. Additionally, the Society for Human Resources Management identifies Upper Iowa University as a preferred provider of HRM majors on its website; human services graduates are permitted to sit for the Social Work Certification examination in Wisconsin without further preparation. The University also has recently entered a formal articulation agreement with the Mayo Clinic in Rochester, MN for a program in clinical laboratory science. This program is certified by the National Accrediting Association of Clinical Laboratory Sciences, and graduates of the program can sit for national certification exams offered by the National Certification Agency for Laboratory Personnel. This program is less than a year old; two students have been admitted into it.

Additional evidence for measuring performance of UIU graduates can be obtained from their acceptance into graduate and professional programs. Data collected for the recent biology major quadrennial report indicated that ten out of eleven graduates known to have applied for entrance into a professional or graduate program in the biological or medical fields in the past four years actually were accepted into their program of interest. The English department reports that five of its recent graduates applied to and were accepted into graduate programs.

111 Recent Improvements for *Helping Students Learn*

Since Upper Iowa University first started to participate in AQIP, significant transformations have been made in numerous facets of the university, including administrative structure (see O5, 5P1 and 5P2), short and long term strategic planning (see 8P1 and 8P2), new facilities construction (see 8P4), refocused learner-based education (see 1R1 and 1R3) and unified faculty curriculum and governance (addressed in this section). The University's induction into AQIP immediately prompted a re-evaluation of its core mission and vision guiding principles. This then naturally spilled over into the university-wide strategic planning process, where the new Vision Statement was dissected and scrutinized, and a series of nine strategic initiatives was identified to help the institution progress toward this new vision. The first four of these nine initiatives have a direct impact on continuous improvement in *Helping Students Learn*.

The first strategic initiative deals with the creation of a seamless university for all stakeholders. This is where Upper Iowa University has made one of the most significant improvements in *Helping Students Learn*. Prior to its involvement in AQIP, the University was essentially two separate entities, a traditional residential university (RU) campus located in Fayette and a non-traditional series of extended university (EU) Centers and distance learning modalities including independent study and online programs. Although there was some cooperation between the two, the RU and EU operated under different academic and business models, perpetuating a *de facto* dichotomous mission and vision. As a result, movement of students, faculty, academic programs and ideas from RU to EU, or *vice versa*, was far from seamless. The AQIP process has helped to dramatically change this, as evidenced by university-wide unification efforts. Unification of core general education curriculum requirements and task assessment of these requirements was the focus of a foundational AQIP project (discussed in greater depth earlier in this category in 1R1, 1R2, and 1R3); this has become a key element in a paradigm shift from a teaching-based to a learning-based educational focus at Upper Iowa University. Next came the University-wide unification of the curriculum approval process (see 1P3 and 1P16), where separate RU and EU curriculum approval schemes were replaced by a central, three-tiered system of approval structured similarly for undergraduate programs (Division → Curriculum Committee → Administration) and for graduate programs (Division → Graduate Curriculum Committee → Administration). Currently, the seamless aspect is spreading from the General Education core out to specific major programs. Another AQIP project has culminated in the University-wide alignment of the RU and EU business cores and programs, which previously

were two significantly different curricula (see [University-Wide Alignment of Business Majors](#)). Starting this fall, one standard business curriculum (with the exception of a different capstone experience) will be offered both online and at all Centers where undergraduate business programs are offered, thus paving the way for seamless movement across University delivery methods.

A learning curve is involved with any dynamic process. In the early stages of the learning curve, small but important steps are made. These steps provide the foundation for wide-reaching change, but it takes time to reach the point where the process becomes truly systematic and comprehensive. Upper Iowa University is ramping up its improvement efforts geared toward *Helping Students Learn*. It has unified and improved processes for General Education assessment; however, it is still on the learning curve for analyzing performance results and engaging the feedback loops necessary for continuous improvement. While the University has displayed effort in unifying and improving processes for assessment of specific majors (see examples cited earlier in this category for education and biological sciences), it still has a way to go before these processes and their performance results would be considered systematic or comprehensive.

Improvements linked to the three other university-wide strategic initiatives that impact the AQIP category of *Helping Students Learn* were discussed earlier in this category. The second strategic initiative deals with tying the curriculum to the university's Vision (see 1P3). The third strategic initiative deals with enhancement of academic programs (see 1P15). The fourth strategic initiative deals with tying co-curricular learning to the university's Vision (see 1P16).

112 Impact of Culture and Infrastructure on *Helping Students Learn*

Involvement in AQIP has set the tone for university personnel to think about and enact quality improvement as the University works its way toward its unified vision. AQIP action projects were cited as examples of sound strategic process during the University-wide strategic planning steering committee discussions. The planning process in turn inspired several departments within the university to develop their own strategic plans. For example, strategic planning in the Division of Science and Mathematics has resulted in significant change to the science curriculum and its assessment. A comprehensive review of majors in the biological sciences discipline was performed and revisions to the biology curriculum were proposed, reviewed, and approved in the fall of 2008 (see [Biological Sciences Curriculum Revisions](#)). Along with changes in coursework, the proposal included documentation on a new major assessment process for the biological sciences. In the past, major outcomes assessment was mirrored after the former General Education outcomes assessment process, prior to AQIP, which was teaching-based (i.e. students were asked to evaluate whether an instructor adequately taught a specific learning outcome). The new major assessment process is now patterned after the new General Education task assessment process, developed through an AQIP action project, which is student-learning based. The process assigns a task to each required course in biology, which is tied to a major goal. Students in the course receive instruction relating to the learning outcomes associated with completing the task and then submit a task assignment (e.g. a term paper or lab report) that is collected and placed in a student's portfolio. Faculty will assess portfolio artifacts of graduating students at the end of each academic year and use the assessment data to determine how well students learned the various learning outcomes associated with the major. Some major programs in other disciplines (e.g. education and nursing) also have their own learning-based assessment processes that focus on continuous improvement; however, other majors are in the initial stages of the learning curve regarding development of a systematic assessment process.

AQIP has inspired a *culture* of continuous improvement, and university-wide strategic planning provides structure to this culture by identifying targets requiring improvement and by setting timelines to ensure that needed improvements receive the proper attention. This culture certainly has permeated the academic and administrative *infrastructure* of the University to the point that University personnel now willingly initiate process improvement even outside of an AQIP action project arena. This can be witnessed in the new unified curricular approval process, which centers on the Curriculum Committee (for undergraduate academic issues) and the Graduate Curriculum Committee. Meeting minutes from these two bodies highlight discussion on academic merit, program demand, learning objectives, and budgetary issues associated with proposed, new or revised, courses or major programs. The process forces the instructor or group proposing a new academic initiative to “think quality.” Proposers must consider all aspects of course content, need, delivery, and assessment, which insures adherence of the proposed course or program to the spirit of the University’s vision of being *respected* and *exceptional*. In another example, changes in administrative personnel have also led Upper Iowa University to improvements in academic infrastructure. The current administration has fostered the creation of new academic programs and has displayed unwavering support of the need for a strong, vibrant faculty to lead academic success. The administration has made more funding available for faculty professional development projects and for classroom technology improvements, such as the Tegrity lecture-capture system. The administration, in conjunction with strategic planning efforts, recognized the need for integrating the RU and EU into one seamless global campus. In fact, the “EU” label has recently been replaced by “Academic Extension” (or AE), which more correctly implies that Upper Iowa University is one central university with regional, national and international branches. Finally, for the first time in the University’s history, full-time faculty members have been hired in AE center locations, thereby promoting an improved sense of academic integrity and quality at these centers.

Obviously there is always work to be done when continuous improvement is part of an institution’s culture. One notable area where this is apparent in the category of *Helping Students Learn* deals with academic assessment. Upper Iowa University has established a data collection process with regard to General Education task performance (as outlined earlier in the category). Now, work needs to be done to put in place a more systematic data collection and robust data analysis and feedback system. Infrastructure notably needs to be expanded in this area in order for the University to fine tune its data collection process and to make sense of what its analysis reveals regarding how it can improve student learning. This should move the University closer to its vision of graduating well-rounded global citizens who are life-long learners and who can contribute positively to society and to their environment.

AQIP Category Two. ACCOMPLISHING OTHER DISTINCTIVE OBJECTIVES

Upper Iowa's non-instructional objectives derive from a comprehensive strategic planning process and its mission and vision statements. UIU dedicates its resources to the preparation of students for life-long, meaningful participation in a society that is increasingly globalized. A key component of the "global citizen" is personal and social responsibility. Both the institution and the individual staff and students who are part of it seek to become vital members of the community, making positive contributions to the betterment of fellow community members.

2P1 Designing Non-Instructional Processes

UIU's comprehensive strategic planning process drives much of the design for key non-instructional processes on the macro level. This process involves cross-functional teams that represent all aspects of the university, including the Board of Trustees, faculty, staff, and students. On a micro level, processes are generally designed and operated on a departmental basis, with input from the broader university where appropriate.

Athletics -Several key groups are stakeholders in the university's athletic programs. Students on the residential campus compete on teams, and faculty, staff, families, non-athlete students, alumni, donors, and residents of the surrounding community follow the teams' progress with great interest. Athletics provides a source of pride, entertainment, and a feeling of belonging within the larger entity of the University. Even students in the international Centers show pride in being Peacocks, to the extent that students in Malaysia have their own Pete the Peacock mascot costume and cheerleading team.

Upper Iowa transitioned from NCAA Division III to NCAA Division II in 2005 and moved to the Northern Sun Intercollegiate Conference (NSIC) in 2006. This move positioned UIU as the only Division II program in the state of Iowa. As a result, the University is obligated to design and operate athletic programs that meet the requirements of those stakeholder groups. The Athletic Council, which includes representatives from the athletic administration, coaching staff, faculty and Office of Student Development, is responsible for overseeing athletic scheduling, eligibility, compliance, recruiting, and athletic scholarships.

Community Enrichment and Economic Development - Residents of the communities where Upper Iowa University has a presence are also major stakeholders of the institution. UIU has a long tradition of engagement with and service to these communities, starting with the original campus in Fayette and expanding into the various AE Centers. The University has been instrumental in providing regional economic development, local strategic planning, community service, educational outreach, and cultural and recreational opportunities.

Economic development and strategic planning assistance have been provided by members of the administration and Board of Trustees, as well as faculty and other staff. The Director of External Affairs has also been an instrumental part of these efforts. This process has been a direct outgrowth of the AQIP Vital Focus process and priorities set during Conversation Day, as well as of the strategic planning process. In addition, AE centers contribute through their local Chambers of Commerce and other local events. (See 9P5 for more on economic development.) Cultural and recreational opportunities are provided through a variety of processes. On the Fayette campus, the UIU Recreation Center is open to all students, faculty and staff (and their families) at no cost, and at low cost to community members. Activities and functions of the Rec Center are operated by full-time staff, students and administration. In addition, students, faculty and staff have access to recreational equipment, such as canoes, kayaks, and camping equipment, through the Outdoor Pursuits office. Cultural activities, such as art exhibitions,

music performances and multicultural/international experiences, are developed and operated by a variety of functional areas, including academic divisions, International Programs and the Office of Student Development.

Community service is the result of many diverse processes. Members of student organizations on the Fayette campus are required to complete at least 10 hours of volunteer service each year, which many students do through the Peacocks for Progress program or Fayette Appreciation Day. Students in other sites have also been inspired to establish service projects in their own communities. (See 2R1 and 2R2 for more information about these programs.) As part of the tenure process, faculty members are evaluated on community service activities. These processes are designed and operated by the Office of Student Development, various student organizations, faculty members, and the Office of International Programs.

Government Relations - Local, state, national and international governments represent another important stakeholder group for the university. UIU must comply with a wide range of government regulations, and work with oversight agencies related to specific fields of study, such as the Iowa Department of Education, Iowa Board of Nursing, and the Commission on Accreditation of Athletic Training Education (CAATE). International centers are governed by a variety of ministries of education, depending on the countries where they are located. In 2007, the university established the position of director of external affairs to support government relations efforts, among other duties. The person who currently holds this position is also an elected member of the Iowa House of Representatives, serving on the education and appropriations committees.

Academic departments that are governed by oversight agencies have designated individuals who are responsible for monitoring compliance with the agency requirements, submitting program changes for approval and maintaining the relationship. Relationships with international ministries of education are coordinated through the Office of International Programs.

Alumni - Upper Iowa maintains many programs to meet the needs of the alumni stakeholder group. Among them are access to the library catalog, access to specialized areas of the UIU website and myUIU portal, events like tailgate parties at special out-of-town athletic events, receptions for state legislators in Des Moines, class reunions, alumni awards programs and researching genealogy for families of alumni or people who lived in Fayette. These processes are generally operated by Office of Alumni and Development, but some are managed by cross-functional teams.

Employers - Naturally, employers of Upper Iowa students and graduates are key stakeholders and it is important to ensure that the institution is preparing students to meet employer needs. Faculty use a variety of means, including personal contacts with individual employers, membership and participation in industry groups (such as the Iowa Society of Certified Public Accountants) and chambers of commerce, career fairs, and online research, to determine employer needs. In addition, the University surveys employers of its graduates at one- and three-year milestones after graduation. However, these data would be more useful if response rates were higher.

In addition, each Center location in Academic Extension has an Advisory Committee composed of community, business and government leaders, which meets regularly to provide input on how the University can better serve the communities within each local area. This input has resulted in the creation of new majors or modification of existing curriculum to meet the needs of employers, such as RN to BSN, athletic training and the social work training certificate program.

Outreach - The institution has designed several non-traditional outreach processes that bring together many groups of stakeholders, including students, staff, faculty, alumni, members of the Board of Trustees, and friends of the University. The best examples of this are Team Peacock and the promotional booth at the Iowa State Fair.

Team Peacock was instituted in 2005 when a small group of staff, faculty and administrators was organized to participate in RAGBRAI® (the *Des Moines Register's Annual Great Bicycle Ride Across Iowa*™). The president, who was an active participant, proposed soliciting pledges for the ride, which would be used for student scholarships. This process was originally operated totally by the Office of Alumni and Development, but has migrated to a cross-functional team in recent years. In addition, employees from admissions and the Office of Marketing and Communications staff a booth promoting UIU in the overnight towns during the week-long ride. As an outgrowth of the RAGBRAI promotional booth, UIU started hosting a booth at the Iowa State Fair in 2006. The booth is manned by a wide range of stakeholders (faculty, staff, administrators, alumni, students, board members and friends) and provides a point of contact with many others, including current, former and prospective students and their families. This process is operated by the Office of Marketing and Communications, which is responsible for recruiting volunteers to man the booth, and providing promotional literature and prizes.

2P2 Determining Non-Instructional Objectives for External Stakeholders

Upper Iowa University's non-instructional objectives (see [Strategic Plan](#), Initiatives: #4 and #9) evolved from a campus-wide project, led by a cross-functional team, to examine the historic mission of the University and to generate a consensus of shared understanding about UIU's visionary future. It culminated with the March 2007 adoption of the present Mission and Vision statements, which are reviewed regularly by the President's Cabinet.

Each objective and strategic initiative links directly to the University's mission and vision; goals and objectives, responsibilities, metrics and resources are associated with each of these strategic initiatives. The President's Cabinet, composed of members of the AQIP Steering Committee along with other senior managers, reviews the current plan monthly and measures its effectiveness at meeting these goals and objectives. When reviewing the plan, the cabinet reviews the mission and vision of the institution in light of any changing environmental factors, internal and external, and ensures that the institution's focus remains on educating global learners.

The annual budgeting process is used in conjunction with the [Goals and Objectives process](#) to determine which objectives (both instructional and non-instructional) have priority as resources are allocated to competing needs. This process also takes into account the current AQIP action projects and drives the AQIP timeline for submission of new projects that require funding resources.

The budgeting process at UIU is unusually open and transparent when compared to those of other educational institutions. The president invites all employees to attend annual budget presentations that clearly communicate the current budget position and projections for the next year, including the anticipated amount of discretionary funds available. The president's PowerPoint presentation is available through the campus network, so employees who cannot attend in person have access to the information as well. After the budget presentations, faculty and staff are encouraged to submit their top priorities for allocation of the discretionary funds.

2P3 Communicating Expectations

UIU communicates its expectations regarding distinctive non-instructional objectives in several ways. The strategic initiatives that support the University's Other Distinctive Goals & Objectives

rise from the strategic planning process. The President's Cabinet uses a goals and objectives process that starts with the strategic plan, then produces operational plans that inform and guide all affected departments and stakeholders.

Interdepartmental communications takes place through the President's Cabinet monthly meetings and meetings of the University's governance committee structure. Senior officers and other cabinet members are expected to communicate expectations to their respective departments. The President's Cabinet meeting minutes are posted on a shared drive available to all faculty and staff. The various governance committee meeting minutes are also posted and shared as directed and appropriate. In addition, the president speaks at various committee meetings, faculty meetings, and University functions, and holds an annual all-campus meeting to discuss major strategic initiatives. The president also meets with the Board of Trustees three times a year and Board committees meet more frequently to communicate any new developments. At least one Board meeting during the year includes faculty division chairs, deans and directors. (See 5P2)

Communication about the progress of Upper Iowa's Institutional Objectives and other AQIP items occurs through the President's Cabinet. Since President's Cabinet membership is cross-functional and representative of all elements of the institution, its structure serves as the ideal point of communication.

2P4 Reviewing Appropriateness and Value of Objectives

The strategic initiatives associated with these objectives are reviewed regularly by the Board of Trustees. The 2007-2008 revision of the Strategic Plan (see 5P2) used an open and inclusive process. The associated goals and objectives are reviewed regularly by the President's Cabinet and adjusted as necessary.

2P5 Determining Faculty and Staff Needs

Faculty and staff have input during the annual budgeting process, as described in 2P2 above.

2P6 Incorporating Information on Faculty and Staff Needs in Readjusting Objectives

There is no formal method for incorporating these needs in readjusting objectives or processes, other than the regular review of goals and objectives by the President's Cabinet.

2R1 Measures of Accomplishing Major Non-Instructional Objectives Collected and Analyzed

UIU measures and analyzes numerous performance results of non-instructional objectives and activities. These results are reviewed both for internal decision making and for reporting to external oversight bodies. A fuller discussion of how these measures are collected and used can be found in 7P2 below. Greater detail related to economic development and alumni objectives can be found in 9P5.

Community Service - Community service is a vital component of UIU's distinctive objective of developing global citizens. For students, this service begins while they are enrolled and continues as they become alumni in their local communities. Student community service is tracked and monitored through several different means and programs.

The Office of Student Development monitors all student clubs and organizations. Each student involved in an organization at UIU is required to perform a minimum of 10 hours of community service every year. The community service requirement may be satisfied by participation in a single activity or a combination of approved activities. Examples from the Fayette campus:

- Peacocks for Progress, created in 2004, is a program developed to unite the Fayette community and Upper Iowa University in working together to create a fun, safe, and beautiful living environment. People from the surrounding area call in with requests for assistance and Upper Iowa students and staff respond by completing the projects.
- Fayette Appreciation Day was added as a day of service to the Fayette community in 2006, in celebration of the 150th anniversary of the university, and has been held annually since.

Academic Year	Total Number of Community Service Projects by Students	Fayette Appreciation Day Projects
2003 - 2004	3	Did not exist
2004 - 2005	37	Did not exist
Peacocks for Progress begins		
2005 - 2006	54	Did not exist
2006 - 2007	72	No separate records kept
2007 - 2008	82	15
2008 - 2009	97	17

Table 2.1 Fayette Appreciation Day Projects

Peacocks for Progress and UIU have received many grants and recognition for community service projects:

- The Corporation for National and Community Service named Upper Iowa University to the 2007 President's Higher Education Community Service Honor Roll for exemplary service efforts and service to disadvantaged youth.
- Governor's Volunteer Award for Peacocks for Progress in 2007
- Governor's Volunteer Award for Alpha Nu Omega fraternity in 2006
- Fayette Mayor's Award for Peacocks for Progress in 2008
- Peacocks for Progress received grants from Alliant Energy Foundation and the Jenzabar Foundation's 2008 Student Leadership Awards Program.

[Community service](#) is also performed at other UIU locations. However, there is no formal procedure to measure and analyze performance results for these community service projects. The following table provides some examples:

UIU Location	Community Project
Des Moines	Participation in Food Bank of Iowa's Combat Hunger initiative
Madison	Food drive
Milwaukee	Hunger Task Force Food for Families drive
Waterloo	Collected money to purchase toys and clothing for Salvation Army
Waterloo	Delivered teddy bears to pediatric units at local hospital as well as food to food bank
Wausau	Books donated to elementary school students

Table 2.2 Examples of UIU center community service

[Press releases](#) are issued for many of these projects and events, providing a convenient way to track and measure them. The following table tallies the number of press releases that relate to each type of objective:

**Meeting Other Distinctive Objectives: Summary of UIU Press Releases
(January 2006 - May 2009)**

Distinctive Objective	Number of Press Releases
Community Enrichment	20
Community Service / Outreach	68
Economic Development	7
Government Relations	10
Other Non-Instructional Objectives	47

Table 2.3 Press release tally

For faculty, community service is a component for promotion and tenure decisions. Faculty involvement is tracked by the chairs of the academic divisions and the senior vice president of the Residential University through the annual faculty self-evaluation process.

Examples of faculty community service:

- Teaching visits to local high schools
- Local river cleanup projects
- Saturday art program for elementary children
- Readings and instructional programs at community libraries
- Participation in fraternal service organizations
- Service on local and county government boards and commissions
- Sponsoring fine arts concerts for UIU and the community
- Organizing Peacock Cyber Camp for children

Outreach - Another distinctive non-instructional activity is UIU's Team Peacock (see 2P1 above). RAGBRAI is the longest, largest and oldest bicycle ride of its type in the world, traversing Iowa from west to east in seven days each July. At the conclusion of each year's ride, debriefing sessions are held to analyze the success of the event and determine the course of preparation for next year. So far, in five years of existence, Team Peacock has raised nearly \$350,000 for student scholarships. The informational booths in overnight towns have the potential to reach over 10,000 riders as well as the residents of the host towns.

An even more visible non-instructional annual activity is the UIU booth at the Iowa State Fair. With over a million visitors to the fair each year, tens of thousands of people visit the booth where they can receive free gifts, fill out inquiry cards, and enter drawings for scholarships. As is the case with Team Peacock, debriefings are held after each fair to assess the success of the effort. Based on these debriefings, the decision was made not to participate in the Wisconsin State Fair this year.

Government Relations - The University has instituted an annual legislative reception in Des Moines and hosted town hall meetings with national legislators.

2R2 Performance Results

See 2R1 above.

2R3 Performance Comparison with Other Organizations

As of this time, no benchmarking comparisons have been made in this category. This is a recognized opportunity for improvement.

2R4 How Performance Results Strengthen Overall Organization and Enhance Relationships

Through participation in Advisory Committees at AE Centers and connections with employers, UIU has identified and addressed educational needs in the communities it serves. Programs like the RN to BSN, athletic training, conservation management and human services social Work training certificate programs were developed based on identified community needs.

UIU is committed to Fayette and the communities where Centers are located. Fayette campus students contribute to local community projects including Fayette Appreciation Day and Peacocks for Progress. AE Centers contribute to local chambers of commerce, educational outreach activities and other local events. Through non-instructional activities UIU enhances its relationship with students and the community in general. Economic development activities are addressed in 9P5.

2I1 Recent Improvements

In order to achieve high performance, UIU is actively engaged with and provides service to a wide variety of external stakeholders. All efforts to improve non-instructional objectives are rooted in the vision and mission of the institution, and the related strategic initiatives. The questions that have been answered in depth (2P1, 2P2, 2P3, 2R1) in this section were chosen because they demonstrate how this mission and vision have led to continuous improvement. While still in the early stages of this category's processes, emphasis has been placed on the design (2P1), determination and communication of objectives (2P2, 2P3), and results measurements (2R1) of the university's non-instructional programs.

While no formal AQIP action projects are directly related to this category, several shorter projects have been developed through the AQIP process and have led to improvements. These projects include:

- External Affairs/e-Center and UIBD grants
- Team Peacock
- Iowa State Fair presence and survey
- Legislative reception
- Peacocks for Progress and Fayette Appreciation Day
- Holistic library services (university-wide access, including alumni)

2I2 How Culture and Infrastructure Help Select Processes to Improve and Set Targets

The culture at UIU embraces years of experience offering quality education in a variety of modalities at domestic and international sites. It is integral to the mission of preparing students for life-long, meaningful participation in a society that is increasingly globalized. Involvement in AQIP has added a focus on continuous improvement to this culture and mission. This background influences the selection of improvement projects by putting a priority on processes that will make positive contributions to the betterment of fellow community members, including both internal and external stakeholders.

The AQIP Steering Committee is a major part of the infrastructure that selects improvement projects and sets targets for improved performance results. The President's Cabinet, which includes members of the AQIP Steering Committee, also influences the selection of improvement priorities through the budget process. Because this budget process is open to all faculty and staff, the selection process is highly collaborative and reflects the input of many diverse groups.

Both the culture and infrastructure contribute to the institution's ability to practice continuous improvement in non-instructional objectives. The culture reflects a long tradition of community involvement and provides a strong foundation of desire for improvement in this area. The infrastructure builds upon that cultural foundation, giving form and substance to the desire and creating the processes needed to achieve continuous improvement.

AQIP Category Three. UNDERSTANDING STUDENTS' AND OTHER STAKEHOLDERS' NEEDS

3P1 Identifying Student Needs

One of the initial AQIP action projects at UIU was “Developing a Retention and Persistence Management Plan.” The purpose of the project was to develop a systematic, reliable system of data collection and analysis to assist Upper Iowa University in identifying the key characteristics of students who would most likely be successful at UIU’s various teaching and learning modalities (e.g. residential setting, online, centers, independent study etc.) and thus to persist to graduation.

Data were gathered by reviewing several Noel-Levitz survey instruments that have been used over the past several years (e.g., Student Satisfaction Inventory, a useful tool for gauging student needs and priorities), and focus groups were conducted to obtain real time feedback from students.

In addition to Noel-Levitz surveys, graduate surveys were administered across the University by the Office of Academic Assessment. These surveys give an indication of what UIU alumni perceive as needs that could have been better met by the University.

Perhaps more important in determining student needs, if less precisely measurable, is the feedback provided through informal interaction among students, faculty and staff. Because Upper Iowa University is a small university, members of the faculty are closely involved with university related student activities both in and out of the classroom. This involvement provides a venue through which information about student needs can be acquired. Needs identified through informal communication sometimes result in relatively minor adjustments that better serve student needs, such as adjusting classroom activities to better serve different learning styles, to more major changes, such as adding majors that serve student needs. A recent example of the latter is development of the clinical laboratory science (CLS) major. There were student expressions of interest in a CLS major. Biology faculty contacted the Mayo Clinic, who expressed an interest in developing a partnership with the University. Mayo Clinic created an articulation program for a major at Upper Iowa University that serves the needs of students with career goals in CLS.

Staff within the Office of Student Development (OSD) also assess student needs and courses of action to meet those needs. Annually the OSD conducts a Needs Assessment Survey with returning students in order to identify their needs. The survey results are reviewed and compared with the previous years’ results. Based on students’ responses, changes are made in various student service programs to address expressed student needs. OSD staff members also make sure that they are available to students in informal settings to allow for interaction that can inform them about student needs. The Office of Residence Life, within the OSD, conducts a Quality of Life survey with students who live in residence halls at the University. The Quality of Life survey helps to determine changes in residential student needs across time. Programming and services at residence halls are adjusted, to the extent that they can be, to take student requests and concerns into account. OSD also assesses the changing needs of Fayette campus students involved in clubs and organizations. The executive director of leadership and adventure, in coordination with the director of student activities, works with various student groups to assess their current needs for programming through assessment tools known as semester reports. OSD staff use this information to help student group leaders identify and organize programming events sponsored by their respective clubs and organizations.

Centers in the Academic Extension use student focus groups to identify student needs. Feedback from the focus groups is analyzed, and each Center then develops an action plan based on the needs expressed by students.

3P2 Building Student Relationships

On the Fayette campus, prospective students meet with an admissions counselor, who makes sure that the prospective student has the opportunity to meet with faculty in the expressed area of interest, as well as others (e.g. coaches) who are able to answer questions and provide the student with information related to his interests. During the summer, Orientation and Registration (OAR) days are held for all new students. During OAR, new students meet with staff from the OSD and with a faculty member who assists the student with course selection. Once registered, students are assigned a faculty advisor who meets with advisees at least once per term during the academic year, and in many cases more than that if advisees have questions or concerns. Faculty is also available to all students during 10 or more office hours per week. Outside of the classroom each student organization includes at least one faculty advisor whom the members look to as mentor and guide.

The OSD plays a key role in building and maintaining relationships with students. Within the OSD, all staff members are expected to take the time to listen to students and address the questions or issues that they present in a timely and forthright manner. OSD staff is expected to maintain the student's confidence in light of the information shared. Listening and treating students with respect as a way to build and maintain relationships with them is core to the philosophy of the OSD.

Beginning during summer orientation, the entire OSD staff actively participates in student orientation through presentations, training and other educational and social activities. Career development staff (a unit within OSD) teach a wellness strategies course for first year students. In addition to presenting personal wellness and healthy decision-making approaches, instructors offer career development information and familiarize the students with services available to them through OSD and the University in general. Staff members in residence life are also available to assist students when they encounter problems. Beyond the course itself, students and OSD staff bond by dining together, attending student activities together, and by the staff advising student groups.

The career development staff continues its relationship with students through e-mail, the careers UIU website, table tents in the cafeteria, a career-focused open house, and printed job search materials. The office also teaches a careers course for junior and senior level students (RU) intended to provide guidance in internship and job searches. Currently an online careers course for AE students is being developed. The needs of AE students are being assessed using an online survey sent via UIU e-mail. The results of the survey will inform the job description for a career development position identified to serve AE students.

In Academic Extension (AE), prospective students receive individual guidance from an admissions advisor from the first point of contact through enrollment in the first course. This facilitates the adult student's successful navigation of the admissions, financial aid and enrollment process. During this time, admission advisors develop an understanding of the evolving needs of adult students and use this knowledge to drive organizational changes. Small group orientation sessions are offered at the beginning of each term to help students understand the expectations of the University and better negotiate their learning experience. During the degree completion process, each AE student has a single academic advisor who provides guidance and ongoing coaching. The strong trust and bonds built between student and

advisor facilitate ongoing feedback from students on their needs. Students at the AE centers on military bases have special needs, as is discussed in 9P2.

3P3 Analyzing Stakeholder Needs

Both the AQIP steering committee and the President's Cabinet are designed so that the needs of the University's various stakeholders are heard. Members bring identified issues to these forums for discussion, and proposals are formulated. As part of the budget process, the president asks the University community to prioritize the proposals. Proposals are then implemented as the budget permits. In some cases technology facilitates the solution. For example, as part of the AQIP steering committee's process, the action project "Jenzabar Internet Campus Solutions Implementation" (JICS) was undertaken. The purpose of this action project is to provide a single point of access to e-learning, communications, and community building applications via a web-based application to all faculty, staff, students, and alumni. Similarly, the use of social networking has been recognized and the University is now using Facebook to promote various projects and to help stakeholders stay connected. The OSD surveys participants in campus orientation activities including both students and their parents. Results of the surveys are analyzed and used to improve the sessions in coming terms. AE faculty development meetings are always assessed and input is used to target relevant topics for future meetings.

Stakeholders from various groups are represented on cross-functional committees. Additionally, some stakeholders express their needs through surveys, whereas others have direct access to the University through enhanced communication technology; however, more systematic analysis of the needs of particular groups remains a challenge.

3P4 Building and Maintaining Relationships with Stakeholders

Building lasting relationships with key stakeholders is a process that needs continuous nurturing in order to grow over time. To that end, fostering alumni relationships (a key stakeholder group) begins with matriculation. One way UIU builds student relationships is through the Student Alumni Chapter (SAC). An extension of the Advancement & Alumni Center, SAC engages current students by emphasizing the importance of being involved in the University community as well as the importance of philanthropy. SAC members interact directly with alumni and friends of the University during campus events and at other UIU events (e.g. receptions and athletic events in other cities) giving students an opportunity to network with business and community leaders. As a result, SAC members form a lasting bond with UIU, while also helping to maintain lasting relationships with alumni and other key stakeholders.

The Office of International Programs (IP) works diligently to cultivate and maintain relationships with key stakeholders through regular communication about the success of the institution. The IP staff produces a quarterly newsletter as a means of disseminating information and constantly updates the website with new information for others to peruse. Other means of maintaining relationships are done through invitation to special alumni receptions and ceremonies at the international campuses. UIU faculty and senior administrators regularly travel to the Asian campuses to meet with key stakeholders such as government officials, students and partner post-secondary institutions.

The coordinator for international recruitment (CIR) uses an extensive network of technology to maintain contact with key stakeholders. This includes e-mail, skype, msn messenger, Yahoo messenger, Facebook, and twitter. Through the different technological media, the CIR builds the relationships on trust and honesty in relating experiences about Upper Iowa University. The CIR also uses international travel to build and maintain these relationships since face-to-face

communication is often stronger than relying solely on virtual communication. The communication is mutual and has been developed over several years.

Graduation is a pivotal time to cement relationships. Students who have attended an AE center are highly encouraged to attend the commencement ceremonies on the Fayette campus. Those who do so uniformly report positive experiences, which may foster long term relationships with the University. Increased AE participation along with recent growth of the RU population has resulted in the necessity of expanding from one commencement ceremony to three in order to accommodate the graduates, their families and friends.

AE staff also recognizes traveling a great distance for graduation might be impossible for some students. Therefore, each AE center hosts a senior reception in the spring. Usually the president, senior vice president for academic extension and vice president for advancement attend these receptions, and during the Fayette commencement weekend the Advancement and Alumni Center holds an open house for all graduates and their families. Additionally, each December, senior administrators participate in the IP commencement ceremonies. During that trip, alumni receptions, meetings with faculty and IP staff located in the international settings occur, thereby creating the opportunity to build relationships with key stakeholders in the international communities.

There are many examples of offices partnering to build and maintain lasting relationships with alumni and other key stakeholders. A common example is athletics and the advancement and alumni office through events such as homecoming, held each fall during football season. Athletes who are members of the Hall of Fame (signifying high athletic achievement) are guests of the University at a banquet. Attendance of former inductees is high, signifying a successful means of maintaining a relationship. Throughout homecoming weekend other events include a golf tournament, alumni awards banquet, Peacock Club breakfast (for all former athletes), departmental open houses showcasing student projects and campus tours. The advancement staff identified a need to recognize and engage donors and has developed a donor recognition dinner as part of a newly established honor society for donors to UIU. Another example of the advancement and alumni office teaming with athletics has been the establishment of tailgaters at away athletic events, such as the Drake University tailgaters. These events are well attended by alumni, parents of student-athletes, students (especially at the Des Moines AE center) and RU faculty and staff.

UIU is a broad-based educational enterprise, and the situation creates challenges in building a sense of community. To meet that challenge, the University provides live video streaming of key events like commencement and, more recently, the groundbreaking of three new buildings on its Fayette campus. The University also produces videos of other events such as public forums with job applicants for review by stakeholders who are unable to participate in events in real time.

3P5 Targeting New Students and Stakeholders

One of the key initiatives in the UIU strategic plan is to build a comprehensive advancement program for the University. As part of this goal, the advancement and alumni office undertook a wealth analysis screening of the database as one means of evaluating donor capacity and fundraising potential at UIU. All of this was part of determining who the key stakeholders are (per the wealth analysis profile) and, secondly, discovering whether those identified desire to be actively engaged with the University. The initial screening was completed in January 2009, and advancement staff members are currently meeting with individuals deemed to have the highest capacity and greatest propensity to financially support the University. Staff members who record gifts are responsible for monitoring donor trends, such as a spike in giving, and informing development officers of the gift(s). Additionally, all advancement and alumni staff are

responsible for monitoring attendance at events and the data base manager records the attribute coded in the constituent relationship management system (CRM). On a more informal basis, staff members attend conferences for continuing education within the profession, along with reading periodicals and monitoring list-serves means of keeping abreast within the profession.

By nature, a university library provides services to key stakeholders of the institution. Various methods are employed to determine how new students and stakeholder groups should be targeted for library services. Librarians monitor industry trends and attempt to incorporate new services. Working individually with students, library staff members listen to their requests and suggestions. On a more informal basis, the library receives feedback from faculty, staff, alumni and students, and, less frequently, surveys have been used. An example of a change that has occurred due to alumni, student and staff feedback is the availability of library search engines to UIU alumni at no charge.

OSD personnel attend professional conferences and read professional literature to remain current in their field. Then, using student focus groups and individual interaction, the staff determines if UIU students are experiencing similar issues and whether the level of intensity mirrors other institutions. For issues affecting UIU students, programs are established by OSD.

IP personnel review data from the Institute for International Education Open Doors Report to learn the trends in international student recruitment for United States based campuses. UIU reviews the most common majors across US campuses and, more closely in Iowa, examines potential new recruiting areas. The institution also reviews the countries with students most heavily represented in the United States and allocates resources to recruit in these geographic regions.

On the RU campus, UIU benchmarks operations with other institutions within the state of Iowa based on the Open Doors report and the IPED reports generated for each institution. The institution then examines the offerings based on general trends. Ideas such as the international business degree, possible Chinese instruction, and business hospitality have been discussed based on this information.

On its international campuses, the University benchmarks operations with other institutions that are running academic extension programs. Most institutions that are compared and analyzed are from Great Britain or Australia as the Asian markets are typically quite receptive to the Commonwealth education system. UIU evaluates the program offerings by these foreign programs and evaluates the majors that are targeted for further study. UIU also routinely visits the Ministry of Education websites in the country of operation to learn about the registration of new competitors in the market.

Upper Iowa University has developed its own feasibility study for foreign markets and uses the evaluation instrument to explore key indicators for the likelihood of success. The foreign market feasibility study looks at the locations in terms of academic preparedness of general population and the ability to pay fair market values.

3P6 Collecting Complaint Information

At the Residential University (RU) the Office of Student Development evaluates various programs, and using feedback, makes necessary changes to proactively address issues as they are identified. When complaints are received, they are forwarded to the appropriate person to investigate. Each situation is documented and involved staff members and students are consulted. Based on the findings, the investigating person takes the appropriate line of action

for all parties involved. A communication either oral, written or both is provided back to those involved. Depending upon the situation, policies or procedures are changed or put into place to prevent similar problems or complaints in the future. Students and stakeholders are informed of policy or policy changes through email, campus mail, US postal mail, website, and when appropriate, various University publications and standing committee meetings.

The AE catalog provides a variety of contacts for complaint information depending on the nature of the problem. Student issues can be taken to faculty or staff and are directed to the person in charge of the particular area. In most cases the complaints are individual issues. If a problem goes beyond the individual level, the center coordinator, regional director, associate vice president or senior vice president addresses it. Problems involving multiple students or more complex matters are taken to the Senior Management Team for more systematic resolution.

3R1 Measurement of Student and other Stakeholder Satisfaction

The Noel-Levitz Student Satisfaction Survey, discussed as a tool for assessing student needs in the response to item 3P1, not only provides valuable longitudinal information about changing student needs, but also provides a useful means for assessing student satisfaction and for comparing UIU residential students' levels of satisfaction with the levels expressed by their peers at other institutions. The AQIP action project "Developing a Retention and Persistence Management Plan" has made enrollment management more of a central focus at Upper Iowa University and, therefore, has broadened the circle of involvement. This focus, understandably, represented somewhat of a change in mindset for many at the University as it became more apparent that enrollment management needed to be an institution-wide effort. Being tuition-driven, Upper Iowa University needed to bring about an understanding of the potential impact and effect of the personal efforts of all in recruitment and retention of students. In the past, recruitment and retention were thought to be the purview of the offices of admissions and student development; however, as Upper Iowa University faced increased competition for students, especially for the cohort of traditional aged students, it became increasingly apparent that many needed to work together to create and reinforce a culture of caring within an atmosphere for learning at the University.

To create the desired synergy among the University community, periodic updates on the AQIP action project were issued to the AQIP Steering Committee in addition to department level communication by those who served on the committee. General awareness of the importance and progress of the project was maintained via the assignment of tasks to a variety of University personnel. By involving the University members at large, buy-in was achieved; through continuous (monthly, at the minimum) updates of the project, University personnel could read about the progress that was occurring.

When the AQIP action project was retired in 2007, the campus retention rate was 67% and the enrollment was beginning a significant upward climb continuing to the current year. For the AE, the results were reviewed by location. Steps were taken to make changes to address the needs identified by the adult learners. In particular, the importance of online coursework was noted. When the program was retired, AE enrollment continued to grow and in particular online enrollment saw large increases. The AE developed a system to track Center students who moved to online or chose to take courses in a variety of modalities. In order to facilitate the movement from one modality to another, a strategic initiative focused on "seamless movement" has been adopted.

Another result of the AQIP enrollment management action project was the identification of student services needing improvement. A new action project has been undertaken to address

this area—“Enhancing Academic Support Systems.” This project is addressing the changing student academic support needs across the institution.

Similarly, the graduate surveys administered by the Office of Academic Assessment, also addressed in item 3P1 as a means to assess changes in student needs across time, provide information about what alumni found most positive in their experience at Upper Iowa University. They also provide feedback on possible defects and deficiencies in various educational and co-curricular functions. Results of the graduate surveys tend to be consistent with the conclusions drawn from analysis of Noel-Levitz data.

The OSD uses the Graduate Employment Survey to help determine success in career training. The Quality of Life survey conducted annually by OSD assesses satisfaction with services for students living in residence halls. The OSD also uses focus groups and roundtables regularly to monitor student satisfaction. Focus groups are also used by Centers in the Academic Extension as a means for assessing student satisfaction.

Through the assessment process, Upper Iowa University has recognized that there is a need to more specifically measure the satisfaction of staff and faculty as stakeholders. The University is a highly student centered institution, and focus has been on measuring student needs and satisfactions. While this is in keeping with the vision and mission of the institution, it is also necessary to recognize the importance of gauging the satisfaction of other stakeholder groups as well.

3R2 Performance Results for Student Satisfaction

One indicator of student satisfaction is retention. Overall percent retention on the Fayette campus has been in the high sixties in recent years. This past year, retention rose to 70%. Since a higher percentage of students are choosing to remain at the residential campus, it could be assumed that more students are satisfied with the education they are receiving at UIU.

Responses to the Noel-Levitz Satisfaction Survey, which is distributed to students every 3 years, also provide information on student satisfaction. The survey was last conducted at the Residential University (RU) in 2006. Likert scale items provide a range of responses from 7 (very satisfied) to 1 (not satisfied at all). The mean score for satisfaction with academic advising at the RU was 5.85, and the mean score for instructional effectiveness as 5.34. As discussed in item 3R6, these scores are comparable with, and slightly higher than, national average scores.

An adult learner Noel-Levitz Survey is distributed in the Academic Extension (AE). The mean satisfaction score for academic advising in the AE in 2008 was 6.15 and the mean score for the quality of instruction in 2008 was 5.75.

3R3 Performance Results for Building Student Relationships

Some items in the Noel-Levitz Student Satisfaction survey address student satisfaction with relationships with faculty and staff at the University. The mean score for student responses indicating a student-centered environment was 5.37 in the RU and 6.06 in the AE. The mean score for student responses indicating whether staff is helpful and caring was 5.85 in the RU and 5.72 in the AE. The mean score for student responses involving faculty availability was 5.74 in the RU and 6.19 in the AE.

3R4 Performance Results for Stakeholder Satisfaction

Non-student stakeholder satisfaction results have not been consistently gathered at this point, but some stakeholder needs have been addressed. For example, faculty needs have been addressed with the adoption of the Tegrity lecture capture system, the learning management

system for teaching support (a part of the JICS action project) and the move to a new online platform. More faculty members have been hired and faculty members have played a significant role in the design of the new learning environments being created with the construction of new buildings on campus.

As the advancement and alumni office has only recently embarked on a more systematic approach to working with this group of stakeholders, formal results are not yet available. However, informal measures like increasing participation in events and contributions to the University imply satisfaction.

University contact with the communities in which it operates (see 2P1 and 9P5) also seems to indicate satisfaction, but UIU recognizes the need to formally collect and analyze more thorough information regarding stakeholder satisfaction.

3R5 Performance Results for Building Relationships with Stakeholders

Upper Iowa has been more successful recently in continuing to build relationships with key stakeholder groups, primarily alumni. One of the more visible results is the increase in support, both financial and physical, for Team Peacock, which boasts a strong presence on RAGBRAI. Over the past five years, this activity has evolved from one in which six riders were involved to the current team of over 30 riders. The riders are primarily faculty and staff; but the group also includes alumni, students, and friends of the university. Financial support for Team Peacock increased 13% this year over last.

The Alumni and Advancement Office has been very active in holding events for alumni and donors. As few of these events have been hosted in the past, it is difficult to measure increases in participation over time. However, attendance has been strong at recent events, and future measurements will include fundraising levels and ROI metrics for these events.

The University also seeks to build relationships within the state of Iowa by working through federal legislators. The most recent result of these efforts has been the receipt of economic stimulus funds to further the activities of the UIU E-Center, which will be used to further e-commerce activities throughout northeast Iowa (see 9P5).

3R6 Comparisons with Other Institutions of Higher Education

The Noel-Levitz Student Satisfaction survey provides national average responses to all items, which allows for a comparison of Upper Iowa University student responses with responses from students at other institutions. Some key overall satisfaction comparisons are student perceptions of advising, instructional effectiveness, and relationships with staff and faculty at the University.

The RU Upper Iowa University student mean scores were slightly higher than, but comparable to, the national average on these items. The mean RU Upper Iowa University score for advising was 5.85, and the national average mean was 5.46. The RU Upper Iowa University mean for instructional effectiveness was 5.34, and the national mean was 5.33. The mean score for student centeredness at the RU was 5.37 at Upper Iowa University compared to 5.09 as the national mean. Student perception of faculty availability, at 5.74 was also higher than the national average of 5.51. Two of the lowest means at the RU addressed living conditions and food options, with scores of 4.66 and 3.75. Not surprisingly, national average means were similar, with the mean for residence hall satisfaction at 4.51 in 2006 and food option satisfaction at 4.08. The University is currently addressing these issues in Phase I of the Facilities Master Plan, which includes the building of new dining and residence hall facilities (see 8P4).

Students in the AE indicate higher levels of satisfaction with advising than the national average for adult learners. The mean AE student response was 6.15 compared to a national average of 5.76. Satisfaction with the quality of instruction at the AE was the same as the national average on the adult learner form of the Noel-Levitz survey used in the AE, with the score for both at 5.75. The mean responses of AE students to items addressing how welcome adult students felt and faculty availability were higher than the national average. The mean response for AE students in response to the item addressing feeling welcome was 6.06 compared to a national average of 5.93. The mean response for AE students to the faculty availability item was 6.19. The national average was 5.91.

3I1 Recent Improvements for *Understanding Students' and Other Stakeholders' Needs*

Upper Iowa University has always been student-centered. Throughout its history, the University has been focused on providing opportunities to student groups traditionally having limited educational access, such as rural students, first-generation college students, and students requiring or desiring small-class environments and individual or personal attention. Thus, understanding student needs has been of paramount importance, and this is a major strength of the University. Therefore, the student-centered questions in this category were covered in depth. Numerous survey instruments, as well as less formal avenues of information-gathering, have been employed to obtain the necessary information to gauge changing student needs (see 3P1). Some of these survey results were used in the AQIP project centered on retention and persistence management to improve enrollment management process. Fayette campus faculty advisors, AE admissions advisors, and OSD staff all work closely with students to build relationships (see 3P2). Noel-Levitz survey results clearly indicate that the University is either on par or faring better in key indicators of student satisfaction with meeting academic needs and building strong faculty and staff relationships (see 3R1, 3R2, and 3R3). A new AQIP action project, centering on enhancing academic support services, is underway and should address critical student needs throughout the University.

Considerable improvement in understanding alumni and donor stakeholder needs has occurred in the past two years, as evidenced by administrative support of the formation of the alumni association, by the hiring of a vice president for advancement and alumni relations, and by the increase in publication materials aimed at these groups (see 3P4 and 3P5). International Programs has been quite successful in a short period of time in attracting new students to both domestic and international centers (see 3P5).

Continued effort in this category should be focused on identifying and addressing faculty and staff stakeholder needs. As student enrollment continues to grow, it will become increasingly important that new faculty and staff positions become available to meet student needs and that sufficient funding is made available to provide necessary materials and support to these key stakeholders. The chief academic officer is considering implementing Higher Education Research Institute (HERI) faculty surveys in the near future to assess faculty satisfaction and to identify faculty needs.

3I2 Impact of Culture and Infrastructure on *Understanding Students' and Other Stakeholders' Needs*

Upper Iowa University has its roots embedded in the dream of a few rural pioneer families who, in the 1850's, wanted to provide educational opportunities for their families and their community. Throughout its history, a rural community-oriented spirit has been entrenched in the culture of the University. Students quickly get to know faculty and staff in the intimate Fayette campus setting, sparking interaction and discussion of student needs and fostering building relationships. Even when the University expanded in the 1980's, as it developed its first off-campus centers and distance education programs, that rural community spirit still was prevalent.

At the time, many Fayette campus professors traveled to nearby centers to teach; such travel, even to the IP centers, is still encouraged today. Also over the years, many Fayette campus faculty members have taught correspondence classes; this tradition continues as a large number of Fayette campus faculty members currently teach independent study (IS) or online classes. This helps Upper Iowa University students throughout the world stay connected to that small community spirit where, for example, even if a military student is e-mailing her first IS lesson from Afghanistan, she may expect to receive a kind reply from a caring faculty member back home.

Upper Iowa University's community-oriented culture also fosters opportunities for members of various stakeholder groups to come together, discuss needs, share ideas, and build relationships. Some of these opportunities are of a more formal nature, such as the strategic planning process (see 8P1 and 8I1), the professional development days, and the various AQIP project teams. Others are more informal, yet equally important, such as homecoming events, honors and awards banquets, faculty and staff recognition banquets, and the December holiday parties. Surprisingly, even RAGBRAI (see 2P1) has provided unique opportunities for students, alumni, staff, faculty, and friends of the University to sit around a campfire after a day's bicycle ride with the University president and members of the Board of Trustees and share stories, discuss ideas, and build relationships that last beyond the week's bike ride.

Although the culture at Upper Iowa University helps to enhance an understanding of various student and stakeholder needs, more could be done to incorporate such opportunities into the infrastructure of the University. One challenge for the University will be to maintain its heritage of a rural community-oriented and student-centered educational institution as it grows and moves toward its vision of being a seamless global university. Already, sustained growth over the last few years, coupled with significant personnel changes in key management positions, has resulted in a considerable influx of new administrators, staff and faculty. If newcomers to the University do not have that same historic sense of community spirit instilled in them as they grow into their new positions, then the University will become disconnected from its past and from key stakeholders, particularly alumni and donors, who hold that past dear.

AQIP Category Four. VALUING PEOPLE

4P1 Credentials, Skills, and Values Required for Faculty, Staff and Administration.

Starting with ideas identified by the Vital Focus, discussed on Conversation Day and further refined during Strategy Forum, the AQIP Steering Committee developed an action plan called "Enhancing Human Resources." The result of this plan was the Human Resources Services Team (HRST). The team worked to provide better access to University employees regarding existing benefits while the strategic initiatives were developed. These initiatives are the driving force behind all University personnel planning and decisions. To identify credentials, skills and values required for University personnel, department heads and faculty chairs create position descriptions based on the goals and objectives identified for each division or department. The goals and objectives are reviewed on a continual basis to ensure they remain consistent with the overall mission and vision of the University.

4P2 Ensuring Appropriate Skills and Credentials for Employees

Position descriptions are developed outlining specific attributes and credentials expected for positions throughout the University. These descriptions are the basis for evaluating candidates. Open position advertisements are created as a result of these job descriptions to accurately reflect what skills are needed to best fill the position.

The University utilizes a uniform process with set procedures to ensure the integrity of hiring full-time faculty, as well as all staff and administrators.

Full-time faculty searches are initiated by academic divisions. Faculty teams identify appropriate credentials based on the UIU Faculty Handbook. Positions are advertised in appropriate venues and a committee of peers reviews and selects candidates for interviews. Candidate interviews and presentations are conducted; final choices are made by the search team and approved by the chief academic officer and the University president.

Adjunct faculty candidate application materials throughout the University are evaluated based on templates identifying specific academic credentials and experience required to teach each course. These templates are developed by full-time faculty and designed to match the specific course needs with the skill sets needed for the position advertised. Center or program administrators interview potential adjunct faculty, matching them to courses based on their academic credentials and work experience as they relate to the approved templates. Every proposed adjunct faculty hire is reviewed by AE administration for compliance with template requirements. In those cases where academic credentials do not match the template, an equivalent qualifications approval (EQA) process is initiated. The process involves a standardized delineation of academic credentials and work or life experiences provided as evidence for expertise for the course involved. A resume and transcripts are sent to a full-time faculty member for review. The faculty member has the option to approve the hire, reject the hire or to approve the hire with specified limitations such as required mentoring or peer review.

For administrative and staff position openings, Residential University and International Program search committees meet face-to-face to establish specific skill sets and qualities needed for a given position. Resumes are collected by the equal opportunity officer who works with the search committee to be sure all candidates are reviewed in a uniform manner. When candidates meeting the specifications of the job description are identified, a phone interview may be conducted to further narrow the field. An interviewee packet from the EO officer with a campus map, job description, application for employment, contact information for the search

committee chair and EO officer is provided at the time of interview. Face-to-face or video conferencing interviews are then conducted with final candidates and a recommendation made to the administrator responsible for that department. Final approval is made by the president. In the case a new president is hired, the Board of Trustees grants final approval for hire.

In specific cases, search firms have been used to narrow the candidate field. Multiple employees from all levels are invited to evaluate candidate credentials and provide input into the hiring decision. Final selection is made by the formal search committee and approved by the appropriate senior administrators, including the president.

The Academic Extension uses a uniform review process to evaluate incoming resumes for administrative and staff positions. All resumes are reviewed by members of the search team and scored using a structured resume review form. Candidates receiving the highest overall point total average are invited for interviews. Utilizing the same job skill categories, interviews are conducted using a structured scoring system. When a final candidate has been selected, references are checked in an attempt to ensure the candidate has accurately represented him or herself through the interview process. Search committee chairs make a recommendation to the administrator responsible for that department based on the outcomes of the resume review, interview and reference check process. Final approval is made by senior administrators, including the president.

A PowerPoint presentation regarding search committee functions, expectations and guidelines has been developed and is posted on Upper Iowa's internal secured network. This presentation contains information to streamline the search process and provide guidance on legal issues and identifying skills sets matching position criteria.

4P3 Employee Recruitment and Retention

The University recruits employees through a number of different methods. The majority of all searches take place through both internal and external advertising. Internal searches are conducted by sending e-mail to all university employees outlining job duties and application procedures. External advertising is determined by the search committee chair with the assistance of the EO officer.

When a search is conducted for an executive level employee, the option of the use of a search firm is considered. If this option is utilized, the search committee chair works with a search firm to identify candidates, based on the skill sets identified in the job description, to be interviewed by a cross-functional search team. Candidates selected for interviews are brought to campus for extensive interviews with search team members and public forums for all university constituents. Feedback is gathered and the search team recommends a candidate for hire.

The University has made progress over the past five years in its employee retention efforts. A need for competitive wages was identified and a conscious effort made to address this need. Over the past five years, the total raise percentage for current employees has equaled 26.4%. In addition to increasing wages, the University now engages in an annual Professional Development Day for administration, faculty and staff. One feature of the day is an open forum for employees to express areas for University improvement. Members of the Professional Development Committee take the top five improvement ideas (LINK) and present them to the president's cabinet for further action.

Currently HRST is working on a staff exit interview template and procedure. This document will be used to identify why individuals are choosing to leave UIU and may assist the university in addressing issues for future employees.

4P4 Orienting Employees to History, Mission and Values

The Academic Extension began a uniform training program in the spring of 2004. At the request of the area supervisor, new employees receive a two hour orientation which includes information on the history and mission of UIU, the organizational structure, useful tools for successful task completion and general University policies and procedures. In addition to the general UIU training, employee training is conducted addressing position specific responsibilities noted in the job description, including the use of the Jenzabar database and reporting tools. Orientation for RU and IP employees was conducted by supervising staff on an individualized basis.

One of the ideas that surfaced during Conversation Day was a formal orientation program. In August of 2008, the University implemented "Peacock Proud," a formal orientation program for all new University personnel. The new employee orientation committee is a sub-committee of the Professional Development Committee. The new [employee orientation](#) process includes a full day of events and information. It includes a tour of campus, keynote speeches by upper level administrators, a history of the University, an overview of the policies and procedures and an introduction to each of the departments within the University. Employees are also introduced to the mission and vision of UIU.

In addition to the new employee orientation group meeting, employees receive information and training on the following:

- About Fayette
- Fayette incentive program (benefits for buying or building a home within city limits)
- Payroll and Benefits Information
- University Mission and Vision
- Administration and Staff Handbook
- Information Specific to the individual's department

4P5 Changes in Personnel

In the case of a pending retirement, a review of current staffing and current job description is conducted to assess the position's projected relevance to future goals and objectives of the University. Unexpected departures (resignation, termination, death) prompt a review of current status within that department or division to identify specific adjustments to better align with goals and objectives.

The University utilizes a personnel hiring justification form so that hiring decisions are reviewed and approved by the CFO and the president to assure continual assessment of the need to meet goals and objectives.

In addition, *Future Perfect* (financial modeling software) is used to model faculty and staff needs as enrollment increases so that the student/faculty/staff ratio is maintained (see category 8).

4P6 Design of Work Processes

The University is implementing features of the Jenzabar system to eliminate duplicate data entry ensuring accurate record keeping. Students are now able to register online and receive course grades through the [myUIU](#) portal, eliminating the mailing of paper grade reports. Standardized processes are being implemented across the global University.

Cross-functional committees allow employees to communicate throughout the University to ensure project completion and the generation of new ideas, and to help people feel valued for their contributions. These opportunities will aid in employee satisfaction through involvement,

meeting new people outside their own department or division and creating a community atmosphere.

The University also has implemented [appropriate policies](#) to protect all University stakeholders against discrimination, harassment and sexual abuse, and to ensure other relevant protections.

4P7 Ensuring Ethical Practices

The University has a human subjects research policy and committee which reviews all research conducted by University students, faculty and staff. Standard protections for all human subjects are defined and enforced by the committee. The faculty has a confidentiality policy within its handbook. All staff, administrators and student employees sign a confidentiality statement. All employees must complete online sexual harassment prevention training and pass the required test. FERPA guidelines are published to all employees and training is done by individual departments. A need has been identified for further training of all University personnel regarding HIPAA regulation compliance as well as more comprehensive FERPA compliance training.

The UIU athletic contracts include a clause regarding compliance with all NCAA rules and regulations, including ethics in recruiting, coaching, booster clubs and working with alumni.

The University employs best business practices in its purchasing of goods and services, including multiple competitive bids on large expenditures. The University payment process for goods and services requires two or more signatures in the submission of bills for payment.

4P8 Determining Training Needs

Full-time faculty members are evaluated by their division chairs using a self-assessment and teaching evaluation process. Student evaluations of faculty are reviewed each term. These evaluations are used to evaluate strengths and challenges for each faculty member. Identified challenges are addressed with mentoring or specific plans for improvement. Division chairs are evaluated by the chief academic officer.

Adjunct faculty members are reviewed the first time they teach and at least once a year using a standardized system. The reviewer is either a full-time faculty member, adjunct peer faculty member or a center or program director. If problems are identified, a plan is developed with the instructor to provide mentoring in the area of weakness. Follow-up reviews are conducted to assess progress and determine appropriate further action. Adjunct faculty members also are reviewed in first half of the term and again at the end of the term with standardized student evaluations. These evaluations are reviewed by the immediate supervisor, the regional or program director, and the academic administrator for that area.

Staff and administrative training needs are determined by the individual department. Skills identified in the job description are used to identify specific training needs such as participation in regional and national seminars or conferences.

Following the annual Professional Development Day each fall, [a survey](#) is sent to University employees to help determine future sessions desired for job development. Sessions are then scheduled based on the survey results as well as input from supervisory personnel. Each phase of the strategic plan will also determine specific needs to be addressed.

By encouraging individuals to participate in professional development activities such as regional and national conferences, webinars or other training, employees are able to gain knowledge which is current and relevant to both instructional and non-instructional activities. Training events are tied to the strategic plan and the underlying goals and objectives for the University.

4P9 Training and Development

After one year, employees have the opportunity to continue their formal education through tuition remission. Undergraduate and graduate tuition is fully funded for employees and their dependents at UIU. The University also participates in two tuition exchange programs providing additional options for professional development. New skills developed through additional education are reinforced by assignment to cross-functional teams, movement to other positions or responsibility for special projects or initiatives.

Prior to the beginning of each academic year, new faculty orientation is conducted for all incoming members. Training is conducted in student advising, introduction to **myUIU** proper procedures for grading and course development in addition to policies and procedures outlined in the Faculty Handbook. A second day of professional development for all faculty members is also scheduled the Friday prior to the beginning of fall classes. In addition to this comprehensive training experience, several optional training programs are held throughout the academic year. These sessions focus on topics ranging from student advising to technology developments. The University has invested in the Tegrity lecture capture system to assist both faculty and students in the learning process. All faculty members have the option of integrating this technology into the classroom experience. The use of the Jenzabar learning management system is also an option for classroom enhancement used by faculty throughout the University. Training sessions are offered for faculty who wish to integrate this technology into the learning environment.

Annually, a day in October is set aside for professional development aimed at all University employees. From the AQIP HRST action plan, a standing committee was created in 2006 to develop and plan the day's activities. The committee works year round to identify and secure appropriate speakers and session leaders with knowledge and expertise in the areas addressed. Employees from all learning Centers come to campus to participate in the training. Each day begins with a keynote address leading into the various session options noted below. Employees are allowed to choose their session options in advance to help determine space and equipment needs. The lunch session is geared toward community development and culminates with a state of the University address by the president. This address outlines the accomplishments during the prior academic year along with the objectives for the current academic year. The concluding session is an open forum which invites employees to give input into areas where a need for improvement is desired. The professional development committee organizes these needs into priorities to present to the President's Cabinet for further action (see [Open Forum Comments](#)).

Additional training opportunities are provided through monies available to each department covering professional development deemed appropriate by the area supervisor. Training for all new employees is secured by their individual supervisors and directly related to the position responsibilities outlined in the job description.

4P10 Personnel Evaluation

As outlined in 4P8, currently each academic division and department has its own personnel evaluation system. Evaluations are used to improve employee performance. Department heads and division chairs are responsible for aligning goals and objectives with the overall University strategic plan. UIU recognizes the need to develop a university-wide evaluation system aligned with the goals and objectives set forth in the strategic plan.

4P11 Recognition, Rewards, Compensation and Benefits

The University community is invited to participate in an annual faculty/staff recognition event the evening prior to the commencement ceremonies on the Fayette campus each year. The event recognizes faculty, staff and administrators for years of service, advanced degree attainment and other professional accomplishments throughout the year.

UIU uses a formal tenure process for faculty to reward service and academic excellence. In addition to the tenure process for faculty, across the board raises have been issued the past five years totaling 26.4% to all University personnel. Employer paid benefits for full-time employees include paid vacation and sick time, health insurance (single employee rate is paid for entirely by the university including premium rate increases), seven percent contribution to the TIAA/CREF retirement plan, crisis leave, life insurance, short-term disability, tuition remission and exchange and free family admission to the University recreational center, swimming pool and all athletic events.

A unique benefit to UIU employees is the opportunity to represent the University at the Register's Annual Great Bike Ride Across Iowa (RAGBRAI). This event raises scholarship funding to be used for student tuition. Employees may participate in this week-long event without being required to use vacation time.

4P12 Employee Motivation

The evaluations gathered from the annual Professional Development Day are used to determine specific needs for additional information or for an issue to be addressed by the administration. The HRST recognizes the need to further develop processes in this area.

4P13 Satisfaction, Health, Safety and Well-Being

Prior to 2006, the University did not engage in formal measures to evaluate the effectiveness of emergency preparedness. Events at another institution in 2006 led the University to assemble a team to formalize this process on the Fayette campus. Several table-top and real-time mock incidents have been conducted to test and evaluate the processes implemented. A UIU Alert System was developed to keep constituents aware of situations occurring which may affect the health and well-being of all University faculty, staff and students. The Fayette campus, along with several of our large Center locations employs security officers to monitor activities and assist with various situations.

The University does not currently evaluate employee satisfaction on a large-scale basis. Periodic surveys are conducted to gain input but UIU recognizes the need for improvement in this area.

4R1 Measurements of Valuing People

Professional Development Day surveys are collected yearly.

The HRST (Human Resources Service Team) has sent out three surveys in regard to the potential need for enhanced human resources services at the University. The survey asks [twenty questions](#) related to communication and execution of employee benefits and services. Since the first survey was distributed in 2005, the data indicated improvement due to the initiatives of the AQIP initiated HRST and Staff Welfare committees. Specific improvement results have been shown in the areas of appropriate pay, relevant professional development opportunities, understanding of current benefits and overall satisfaction as a UIU employee. While these areas have shown improvement, the results of the survey also indicate there are still areas in need of improvement. A desire for more training opportunities for supervisory staff and a single point of contact to discuss employee related concerns continues to be areas where further research and action are needed.

In some areas, professional development plans are created for each employee on an annual basis with the goal of achieving an average of 40 development hours. The supervisor tracks completion of the plan throughout the year and meets regularly with the employee to assess the effectiveness of the development and make adjustments as needed. At the end of each fiscal year the documentation of the plan is submitted to the area administrator to assess effectiveness and provide a baseline for developing the following year's plan.

4R2 Performance Results in Valuing People

Creating HRST resulted in better communication on all levels within the University. As noted in 4I1, Crisis leave, AFLAC supplemental insurance and short term disability policies were implemented by this committee.

With the Staff Welfare committee, a cross-representation of the University personnel was developed. It also included creation of and implementation of new guidelines also noted in 4I1.

4R3 Evidence of Productivity and Effectiveness

Evidence of both the productivity and effectiveness of current practices is seen in increased enrollment in both the residential campus and the Academic Extension over the past several years. During the 2008-09 academic year, the Fayette campus saw an overall growth in enrollment of roughly four percent over the previous year. This was especially encouraging considering the growth in enrollment from 2006-07 to 2007-08 was over twelve percent. The addition of programming in math and science as well as the addition of the Master of Education were catalysts for overall growth on the Fayette campus.

The Academic Extension, with particular growth in the area of online programs, saw overall growth in enrollment of four percent from the previous year in the 2008-09 academic year and three percent in 2007-08. Contributing to the growth of enrollment was the cooperation of the centers, independent study and online program staff in recognizing the needs of the student population for flexible course scheduling. Students have become increasingly aware of the option to take coursework in several different modalities throughout their degree programs. This flexibility attracts more students to the University because it recognizes the diverse needs of adult learners. Additional majors available at the undergraduate and graduate level also contributed to the University reaching its enrollment goals.

The CLA results continue to show positive results (see Cat 1). A second measure used to show effectiveness is the Noel-Levitz survey to capture student satisfaction data across the University. See category 6 for further information.

4R4 Comparison with Other Higher Education Organizations

On comparing UIU with evidence appearing in other AQIP Systems Portfolios, UIU's processes for valuing people are similar to those of other AQIP institutions; however, this is an area that needs more attention. A benchmarking committee has been formed to identify a set of comparable institutions as sources for benchmarking various University functions.

4I1 Improvements for Valuing People

An AQIP team was created in 2005 to discuss and provide recommendations regarding human resources issues. The HRST and Staff Welfare committees were formed as a result. Since their formation, the following improvement initiatives valuing people have been implemented:

- A crisis leave donation and usage program was developed for employees who experience unexpected loss of work time due to illness. Employees are able to donate up to three days of vacation time each academic year with the approval of their supervisor. The accumulated hours are then used to supplement vacation hours for those individuals who experience an unexpected illness and do not have the vacation time accumulated to cover the loss of work time.
- Short term disability was a direct result of work done by the HRST. Members of HRST researched the cost of the benefit and presented their findings to each University department as well as the President's Cabinet. On July 1, 2008, a short-term disability benefit was added for all employees and is paid for by the University.
- AFLAC supplemental insurance was explored due to the lack of vision and dental insurance for University employees. An AFLAC representative made presentations to the University community regarding the plans and returned one week later to sign individuals up for the plan. This option allowed the University to offer supplemental insurance, at the cost of the employee, at a discounted group rate.
- Dress code guidelines were designed by the Staff Welfare committee and approved by the President's Cabinet at the request of concerned employees. The guidelines better explain to staff and administration what the expectations are for proper work attire. Prior to these guidelines, new or existing employees were often unaware of what was expected.
- HRST members developed a hiring checklist for supervisors to ensure all essential paperwork for payroll and benefits is completed prior to a new employee's first day of work. The checklist also allows supervisors to be sure all appropriate items such as keys, computer logins, essential meetings and University policies and procedures are in place.
- An electronic training tool available across the University was developed by the HRST with guidelines for search committees. The function of the presentation is to assist new hiring supervisors in using sound, legal practices during the hiring process.
- Staff Welfare created an e-mail account to address requests and concerns from University employees. It was discovered that, while many people were aware a committee had been formed, not all employees were aware of the committee membership. The e-mail address gives access to an easily remembered account to send requests and concerns through.
- HRST added information to the faculty and staff web page and the **myUIU** portal. These common sites for obtaining hiring and benefit information, employee directories, professional development information and hiring paperwork make human resources processes more seamless for all employees.
- Employee benefits for part-time employees were implemented in 2008. Prior to this time, employees working fewer than forty hours per week did not receive holiday, sick or vacation pay.
- The University implemented a program in 2007 to allow new employees to enroll in TIAA/CREF based on service at a previous institution. Prior to 2007, all new employees were required to wait one calendar year to receive matching benefits from UIU.

Based on the importance of the HRST action project the following Category 4 questions are answered in detail: 4P2, 4P4, 4P8, 4P9, 4R1, 4R3, and 4I1.

4I2 Selection of Improvements

UIU utilizes the strategic plan and identified goals and objectives to make informed decisions regarding all human resource enhancements. AQIP processes are used to identify needed

changes and track results and improvements. The President's Cabinet reviews proposals for change and implements appropriate programs or policies as needed such as those listed in 4I1.

AQIP Category 5. LEADING AND COMMUNICATING

UIU has several activity areas and action committees in its leadership matrix. This matrix includes Board of Trustees, UIU executives, staff, and faculty. All of these groups are engaged in activities directly related to UIU's Strategic Plan. For each Strategic Initiative in the Strategic Plan, there is a UIU point person who links institutional activities for a particular Strategic Initiative to the corresponding Board of Trustees committee for that Strategic Initiative. Table 5.1 shows these relationships.

Strategic Initiative	Board Committee	Point Person
1. Seamless Movement	Budget and Finance	CFO*
2. Develop Global Citizens	Academic Affairs	CAO/DIM
3. Enhance Academic Programs	Academic Affairs	CAO
4. Co-curricular opportunities	Student Life	SVP IP
5. Support Programs	Marketing and Enrollment Management	VP EM
6. IT Infrastructure	Information Technology	DIR IT
7. Market the Mission	Marketing and Enrollment Management	VP MARCOM
8. Comprehensive Advancement	Advancement	VP ADV
9. External Relationships	Community Enhancement	DIR EXAF

*Titles indicate person who connects/coordinates UIU activity area to Board of Trustees committee.

Table 5.1 Leadership Matrix

5P1 Mission and Values

Upper Iowa University's last major review of its mission and values began in 2005, in alignment with its acceptance into the HLC's Academic Quality Improvement Program (AQIP). A 10-person committee was formed, including stakeholders representing faculty, staff, administration and alumni, to address the task. After meaningful deliberation between the Board of Trustees and the committee the final version (*see Organizational Overview*) was adopted spring 2007. In accordance with UIU's Strategic Plan, the mission and vision are subject to annual review by the Board of Trustees, with opportunities for input from faculty and staff.

5P2 Setting Direction

Over all, University leadership at every level, including the president and Board of Trustees, set directions in collaboration with key stakeholders, whose input is solicited through university-wide

open-forums, retreats, annual board meetings (with lead faculty, deans and directors included), budget presentations with reciprocal commentary, annual statements of performance goals and objectives, AQIP steering committee meetings, and monthly presidential cabinet meetings. These provide opportunities for everyone at all levels of the University to present information and opinions, share a diversity of ideas, and indeed accept leadership in a variety of ways. As such, the high degree of collaboration both fosters and encourages high performance at all levels of the University, and ensures that the direction of any Initiative is, in fact, holistically aligned with its mission, vision and values as stated in the Strategic Plan. All goals and objectives must proceed from Strategic Initiatives, as set forward in the [Strategic Plan](#).

The process by which the University's goals and objectives are devised was created in order to facilitate a means to achieve high performance, specifically by increasing focus on the Strategic Plan and involvement in the budgeting process at all levels. The Goals and Objectives process was developed by Dr. Walker based upon his 25 years of experience and his review of best processes of budgeting procedures in higher education. The [Goals and Objectives process](#) requires collaboration among levels in the organization and across functional areas in the organization. It also must take into account the results of AQIP teams conducting the various action projects, as monies are set aside for allocation in each budget year based on initiatives identified through AQIP processes in conjunction with mission, vision, and values as reflected in the Strategic Plan.

The 2007-2008 revision of the Strategic Plan is another example of how the Board of Trustees sets direction for the University. The process was open and inclusive; technology used allowed everyone from administrative assistants to Trustees to contribute to the process. Mirroring this process, other UIU improvement initiatives used the same technology and procedures. Guiding principles for facilities planning were developed in this manner, and three new buildings were designed through processes based on this model.

5P3 Needs and Expectations

In general, the size and culture of the University allow for informal, meaningful communication among stakeholders at all levels. Formal processes for decision making include information gathered from a variety of sources: student surveys, enrollment management and development surveys, focus groups, AQIP Conversation Day, Professional Development Open Forums, cross-disciplinary advisory committees, and alumni feedback. This is further aided by making the processes and guiding principles of given projects and initiatives available for comments, questions, and feedback via **myUIU** and, previously, a [Strategic Planning](#) wiki site. In particular, student input is solicited at all times as part of the decision making processes. Beyond UIU's Student Questionnaire for Student Evaluation of Instructors and Courses, that faculty members use for the ongoing development of classes and programs, and on which their own evaluations are based, student participation is mandated on the major governance committees, and students play key roles in other major groups, for example, those involved with facilities planning.

5P4 Seeking Future Opportunities

The University's strategic plan is by its very nature, strategic, and the University's mission has historically focused on students and student learning. Indeed, Upper Iowa's traditional commitment to student learning has been instrumental in the institution's historical success, and has undergone further collaborative refinement under the impetus and auspices of AQIP initiatives and related scaffolding. Examples include plans for new buildings, campus improvements and extension sites that have been rolled into the Master Facilities Planning Committee, the development of new programs through strategic initiatives, and monitoring and creating student support services (including the various academic student support centers) that

are identified as key factors to student success by the Strategic Plan. More generally, the University's administration promotes and encourages faculty and staff development in a number of ways in order to maintain and enhance individual performance. At a very basic level, the president frequently informs leaders across the University about current research and findings in areas such as institutional benchmarking and current educational practices at other institutions to facilitate discussion and commentary among faculty and staff. Further, he disseminates information regarding professional conferences and generally encourages attendance. There is a strong emphasis on faculty/staff development and networking over all, and monies are made available. Staff members are encouraged to make use of the tuition remission program to avail themselves of development through classes, whether for enhancement in a particular area or leading to a higher degree. A multi-year budget plan is reviewed annually, most recently leading to a doubling of the funding for summer research and professional development. The Professional Development Committee surveys both faculty and staff, makes leaders aware of opportunities such as in-services, and arranges for campus-wide activities such as professional development days.

5P5 Decision Making Process

As in 5P3, above, the decision making process at Upper Iowa is collaborative in all areas and every level, and input is solicited from all stakeholders. This is true for the Board of Trustees and its subcommittees, the President's Cabinet and its subcommittees, the AQIP Steering Committee, the faculty governance and staff committees, as well as the various arms of student government. To all permissible extents, participation is encouraged and in some cases stipulated across areas and disciplines. In the University's recent reorganization of its academic pipeline, undertaken as part of a larger project to insure inclusive uniformity of services and opportunities across the entire institution, the need for comprehensive representation was a major focus. Information about prospective projects and current status is available via **myUIU** and shared drives.

5P6 Using Data and Information

To function at the highest level of performance during institutional decision making processes, the various arms of the University utilize data from as many sources as possible, both formal and informal, from exterior agencies and in-house sources. At the highest levels of institutional governance, the decisions of which will affect the University in its entirety, the Board of Trustees in conjunction with the chief financial officer use Future Perfect predictor software to develop a variety of financial models to anticipate trends and analyze opportunities for areas of improvement and/or development. Recent endeavors such as the launch of new AE Centers in Cedar Rapids IA and Rockford IL were based on surveys done by industry specialists, as were recent innovations in [Marketing and Advancement](#). In fact, the creation of two new vice-presidential positions for these areas was the result of two informal action projects. Efforts to improve the University's enrollment management processes began as an AQIP project and transformed over time into a complete enrollment, student success, and (athletic and traditional) recruitment program, including the initial collection of data and training of lead staff members by Noel Levitz (during which phase stakeholders were informed of progress by weekly reports) and is credited with increasing the Fayette campus enrollment 40% in five years. The Office of the Registrar collects, collates, and creates reports on student data of all kinds which are used on a university-wide basis to monitor and track program needs and inform development. The same is true for curricular matters with regard to student and faculty evaluations of individual courses, the latter also being evaluated in total by faculty at the end of each academic year. The combinations of these data are used by division chairs as opportunities for mentoring, both in general and during yearly faculty evaluations. In the same way, many of these assessment data, which also provide feedback from the multiple individuals involved, are reviewed by and form the basis for decisions made by the Board of Trustees, the President's Cabinet, the Council

for Residential Studies, and other governance and advisory committees. Even at the most mundane levels, details such as the scheduling for events like the Professional Development Day are determined based on exit feedback from previous participants.

5P7 Communication Processes

Communication across the university requires a variety of methods. All employees have access to e-mail and voice mail. All students have a university e-mail account. The President's Cabinet meeting minutes are distributed to all employees and stored on a shared drive. An internal newsletter, *The Focus*, is published by the Academic Affairs department; the Marketing and Communication department publishes *UIU Update*, (see 5P8), as well as *The Bridge* and *FeatherNotes* for alumni and all employees throughout the year in an effort to keep all constituents informed of university events and accomplishments.

The University's website and portal system, **myUIU**, play a central role in communication. The website is currently undergoing a complete re-design with an emphasis being placed on two-way communication. The **myUIU** system has specifically designed portlets that allow constituent access to information relative to them. For example, students can register for classes, obtain class materials posted by instructors, track grade progress, and retrieve an unofficial transcript; several of many items available to them.

5P8 Leadership Communication

In one of their first events after hiring, all new UIU employees attend *Peacock Proud*, an orientation day developed specifically for UIU's unique organization, which began in 2008. These bi-yearly events directly resulted from the AQIP action project conducted by the team known as the [Human Resources Services Team \(HRST\)](#). The HRST team itself sprung from the combination of concern for people, collaborative culture, and demand for information indicative of the UIU community. Beyond formal activities, new employees have the opportunity to interact socially and informally with other new employees, as well as with long-term faculty, staff, and administrators. Presentations are made by professionals immersed in all aspects of the University, from facilities maintenance workers to the president, and the rich history of UIU is presented, along with a walking tour of the beautiful and historic Fayette campus. A distinctive feature of *Peacock Proud* is that presenters all comment on why they came to UIU, thereby reinforcing the underlying values of UIU and how those values distinguish UIU from other institutions and guide what is done by everyone in the UIU community. New employees receive a peacock feather and a UIU lapel pin. The event evolved from a genuine concern and respect for people at UIU, and allows new hires an opportunity to be involved with their new colleagues in a special way, learn the uniqueness of UIU as it pertains to them and their roles, and to focus on where they fit into UIU's communication structures and how they may interact with others at UIU. The information provided, along with important networking opportunities, helps assimilate new employees into the UIU family more quickly and more completely.

All new employees meet individually with the president, and receive the gift of a book which chronicles the history of UIU, hard times and good. In his chat with each new employee, the president relates current initiatives to the stories and traditions of UIU, and discusses what it really means, in terms of mission, vision, and especially values, to "be a Peacock."

Each year, all members of the President's Cabinet receive a book chosen specifically for a link to the UIU mission and culture, such as Friedman's *The World Is Flat*. Further, on a nearly daily basis, information from a variety of higher education publications is shared via e-mail with members of the President's Cabinet.

UIU values are spread throughout the world via the University's international programs. "Pete the Peacock" is the iconic mascot of the UIU sports teams based in Fayette. New students to

the American Degree Program intake sessions in Malaysia are also welcomed by “Pete the Peacock.” The students in Malaysia have instituted *Fayette House*, which is a space in which they have replicated much of the culture on the Fayette campus and have assembled many UIU artifacts there. They have cheerleaders, who proudly cheer their school spirit, as they don’t have UIU sports teams in Malaysia.

Meetings at all levels at UIU foster involvement, collaboration, information sharing, and focus on the mission and vision. For example, Board of Trustees meetings include discussions among selected faculty, administrators, and staff. The UIU Board of Trustees is highly collaborative, and has established standing committees of Board members, faculty and staff. The Board of Trustees maintains oversight of UIU’s worldwide operation in order to assure planning and innovation coupled with sufficient attention to the needs of change, as much of the UIU strategy depends upon being flexible and adaptive.

At each meeting of the President’s Cabinet, its members review of the status of completed and ongoing AQIP Action Projects and other activities relative to the strategic initiatives. Further, open discussion of matters of high importance to the UIU culture, such as Team Peacock’s participation in the *Register’s Annual Great Bike Ride Across Iowa* (RAGBRAI) and UIU booths at the Iowa State Fair occur at each session of the President’s Cabinet. Leadership is developed through the practice of allowing cabinet members the opportunity to “champion” a particular project through the cabinet process, even if that person is a junior member of the President’s Cabinet.

Professional Development Day is an annual event that was deemed necessary by the HRST AQIP Action Project. Workshops are hosted, many with external presenters, for faculty and staff at all levels. Topics are chosen by a committee that works year-round to collect data on what presentations and activities are needed for the professional development of multiple constituencies, and selections are made based on that information. Topics have been diverse, and include technical workshops on such topics as Microsoft Excel, and self-help workshops such as maintaining life balance (see Table 5.2).

	Total Attendees	Faculty	Staff	Sessions
2006	179	21	158	<ul style="list-style-type: none"> ▪ Fish Philosophy ▪ How to give constructive feedback ▪ Listening ▪ Marketing UIU ▪ Understanding other’s POV ▪ How to handle Angry Students/Parents
2007	162	11	151	<ul style="list-style-type: none"> ▪ Mastering MS Excel ▪ Outlook ▪ Omni Update Refresher ▪ How NOT to give the runaround ▪ UIU functions ▪ Balancing career & personal life ▪ Welcome to myUIU ▪ How to effectively motivate ▪ Recognize employees
2008	148	9	139	<ul style="list-style-type: none"> ▪ Maintaining life balance ▪ MS Office ▪ Behavioral Intervention Teams ▪ UIU Functions

Table 5.2 Professional Development Day Data.

Many mechanisms are in place at UIU to communicate the mission, vision, and values to the UIU community. Since UIU joined AQIP, marketing and communications (MarCom) has begun publishing *UIU Update*, and International Programs has begun publishing [*Peacock Global Express*](#). Returning students on the Fayette campus receive a copy of *The Focus*, to welcome them back to campus and provide them with an update of general changes and helpful hints for a successful return. Students in Academic Extension receive an e-copy of *Nitewire* each term.

Several mechanisms for communicating mission, vision, and values involve face-to-face communication. In the case of UIU, this entails world travel. Each December, the president, CAO, senior vice president for International Programs, select faculty, and a number of Trustees travel to Centers in Malaysia, Singapore, and Hong Kong in conjunction with graduation ceremonies in Malaysia and Hong Kong. Singapore is included in the trip to assure procedures will be consistently followed at that location once enrollment begins in UIU programs there. Meetings are always conducted with UIU faculty and staff at each location to assure clarity as to procedures, issues, and mission accomplishment.

In accordance with the plans set forth in the JICS AQIP Action Project, in May 2009 a team of managers and technicians from the Fayette campus and Academic Extension traveled to Hong Kong for Jenzabar implementation. By using a joint task force in the implementation, UIU assured uniformity in Jenzabar utilization in all locations. The Academic Extension managers on the trip aided their Hong Kong counterparts with Jenzabar, and both groups shared experiences and procedures in all aspects of UIU Center operations.

5P9 Leadership Development

Because of the University's small faculty-to-student ratios and academic structure organized around collaborative, cross-disciplinary divisions (rather than tightly compartmentalized departments), faculty are expected to be leaders at all levels within their scholarly areas, divisions, and chosen areas of governance. They monitor, benchmark to the degree possible (informal project in progress), and refine their programs on a yearly basis as part of their self-evaluations, and as part of the required quadrennial assessments. Junior faculty members, in particular, have unique opportunities to play key roles in the governance of the institution. Mentoring takes place specifically between the division chairs (tenured excepting, by state regulation, the chair of the Division of Education) and the specific divisional faculty at the end of each term (based on student course evaluations) and annually as part of a larger assessment of faculty development that, in a process which also includes the CAO, covers teaching, professional development, and University and community service. This does not preclude, however, the ongoing mentoring and feedback that happens on a day-to-day basis at a small institution. Furthermore, funds are available for leadership development activities. Division chairs are encouraged to participate whenever possible in professional development activities specifically related to their leadership roles, and are expected to subsequently share information and skills within and across divisions. Since faculty members eventually find themselves on a committee, assigned or ad hoc, it is almost impossible for faculty members to turn their backs on or pass up opportunities to lead as a member of the university community. Faculty members also have presidential grants for teaching with technology available on a competitive basis.

5P10 Leadership Succession

The Board of Trustees and the president recognize that a leadership succession plan is vital to the preservation of the university's mission and achieving the outcomes of its strategic plan. In 2007, the president's direct reports began documenting succession plans for their respective areas.

5R1 Performance Measures

Performance measurement and tracking data are collected as necessary annually, monthly, or weekly. Measurement of the budget process and decisions relative to it is one example. The President presents an annual financial overview which informs/reminds what the budget process guidelines are. This presentation also sets target values for “new money” in the upcoming fiscal year budget, to help budget managers know what resources are available. Monthly budget reports are presented to the President’s Cabinet for tracking purposes. Budget data presented at the President’s Cabinet inform leaders in their decision making.

Also in President’s Cabinet, members and selected committee chairs report metrics in their areas. Two examples are the Technology Committee and the Enrollment Management Committee. The Technology Committee collects data on bandwidth utilization and technology asset lifecycles and uses that information to inform Cabinet members when additional resources are necessary. The Enrollment Management Committee presents results of monthly activities to keep leaders informed. In addition, during spring and summer, projected enrollment reports are provided weekly. The UIU Strategic Plan Dashboard is under development that will provide updates by the point persons assigned to each strategic initiative.

The AQIP process has revealed the need to measure the overall effectiveness of leadership at UIU. In reviewing materials from other AQIP institutions, a best practice of measuring organizational climate, as an indicator of overall effectiveness of leadership efforts, has been identified. Currently, UIU does not have a measure designed to directly assess leadership effectiveness. Whether UIU would adopt something such as the PACE Organization Climate Survey, another similar survey, or develop an internal survey based upon an established model such as Bolman and Deal’s four-frame organizational theory is yet to be determined, and may become an action project. Whether or not it is an action project, the need for an organization climate survey will be addressed.

5R2 Leading and Communication Results

UIU enrollment continues to increase, a completely revamped executive team at the vice-presidential level is in place, and performance indicators show positive results. The Strategic Plan Dashboard is under development, and, when completed, will provide a systematic representation of measures associated with every Strategic Initiative. This readily-accessible representation will be a definite improvement over the disaggregated data situation that was revealed through the AQIP process.

As a result of knowledge gained through the AQIP process and the Strategic Planning Initiative, there is now in place at UIU a leadership team more open and communicative than the more traditional administrations indicative of UIU’s past. The results include a much better alignment between the leadership team’s approach and the collaborative approach that has typified faculty governance for many years at UIU.

5R3 Comparisons

The benchmarking project and the Strategic Plan Dashboard are the results of needs identified in the AQIP process. However, they are both still in their developmental stages. Once they are completed, more specific management data, in a centralized, easily accessed location, and in an easily understood format, will more thoroughly inform decision making by UIU leaders.

Current knowledge of performance results reside in the mind and computer files of many individuals, and are not currently aggregated as well as it will someday be. However, in light of the current disastrous economic recession and its spillover effects within the higher education industry, UIU’s competitive position is relatively quite strong. While other institutions scramble to redefine and interpret their missions, UIU can confidently stay the course based upon

knowledge of how well the UIU mission is working. UIU has not had to lay off faculty or staff, cut operating budgets, or abandon strategic initiatives. In fact, as further evidence of a valid mission being realized through ongoing strategic management and continuous improvement, UIU is enjoying increased enrollment and has embarked upon several exciting initiatives, including three major construction projects.

5I1 Recent Improvements

Many of the Leading and Communicating improvements are directly related to UIU's Strategic Plan, and were developed in accordance with AQIP principles. UIU's processes are very systematic, as they reflect an orientation toward strategic management of all aspects of the institution. All that is done at UIU is intended to be aligned with the Strategic Plan and to assure strategic consistency throughout the world-wide operation. As can be seen from answers to the Process questions, the more detailed answers are directly related to the strategic process. The Board of Trustees oversaw the development of the Strategic Plan, such that it was aligned with the updated mission and vision of UIU (see 5P2). From the outset of the strategic planning process, the intent was to set the strategic direction of UIU via the process. Further, the alignment of Board of Trustee committees with UIU faculty and staff committees, through the use of point persons, further assures strategic alignment among all constituent activities and across all initiatives. Having a strategic approach to leadership allows UIU to constantly scan the environment for opportunities, and to act upon them quickly when they are identified. This strategic approach is enhanced by mechanisms such as the CFO's financial model predictor software, which allows continual enhancements, such as the two added extension sites referenced in 5P6. A notable leadership communications improvement is the development of the *Peacock Proud* orientation for all new employees and the annual Professional Development Day. These both stem from the HRST initiative as discussed in 5P8. An example of leadership development can be seen in the AQIP-driven benchmarking initiative, which dovetails well with the ongoing faculty development programs already in place, and establishes UIU as a leader in the area of faculty assessment via the faculty self-assessments detailed in 5P9.

As discussed in 5R1, a new measurement culture is emerging at UIU. The processes and procedures discussed were all designed to be in strategic alignment with the nine strategic initiatives contained in the revised Strategic Plan and to allow for high performance outcomes (see 5R1).

The JICS AQIP Action Project was highly successful as intended, and produced some initially unforeseen benefits as well. The reinforcement of UIU values at the Hong Kong site was heralded by domestic faculty and staff as well as the Hong Kong faculty and staff as a rousingly successful offshoot of the Jenzabar installation initiative in Hong Kong as discussed in 5P8.

All the Leading and Communicating improvements realized to date under the continuous improvement mantra will serve to enhance the ability to inform UIU leaders and insure future UIU success. It can be argued that UIU today enjoys the finest level of strategic management capability and highest degree of strategic alignment in its long history.

5I2 Culture and Infrastructure Support

The University's strategic culture and evolving infrastructure are aligning to allow UIU to be a high performing organization. The initiatives and timeline set forth in UIU's Strategic Plan are intentionally aggressive, and could not be realized if UIU had not improved the strategic process. UIU is positioned well for the future, in spite of the economic times, and Leading and Communicating processes identified and implemented have enabled the institution to realize such a favorable position (see 5P2 and 5P8).

AQIP Category Six. SUPPORTING ORGANIZATIONAL OPERATIONS**6P1 Identifying Students' and Other Stakeholders' Needs**

UIU recognizes that needs of students and other stakeholders are crucially important and ever changing. Therefore, certain monitoring processes are used to routinely identify suggested improvements to support services for students and other stakeholders (See 3P2 and 3P3). Table 6.1 provides an illustration of the ways UIU identifies support service needs of students and key stakeholders.

6P2 Identifying Needs for Administrative Support

UIU takes pride in providing current, up-to-date administrative support services for faculty and staff, who are directly involved in providing for the need for students and other stakeholders. Table 6.1 provides an illustration of the ways UIU identifies support service needs of faculty, staff and administrators.

Academic and Administrative Support Processes	Services	Identification Process (e.g. surveys / feedback mechanisms)
Enrollment Management	Admissions, student records, registration, financial aid, transcript services, student orientation, veterans' services.	Annual goals and objectives reports and SWOT analysis, Noel-Levitz Student Satisfaction Survey, Noel-Levitz Financial Aid Leverage Analysis, Iowa Higher Education report, applicable University committee meetings, tracking processes effectiveness, exit interviews, new student orientation evaluations, VA supervisory visit.
Instructional Support	Academic Advising, Academic Success, Library Services, Tutor Center, Disability Services, English as a Second Language (ESL) Programs.	Annual goals and objectives reports and SWOT analysis, CLA testing, enrollment management committee and retention committee meetings, database usage, circulation statistics, Iowa Private Academic Library (IPAL) statistics, Federal Depository biennial survey, track tutor center student visits, in-house student satisfaction survey on tutors, benchmark with independent colleges and universities disability list serve, Accuplacer placement test results.
Student Life	Campus housing, career development, student activities, counseling services, intramurals, outdoor pursuits, clubs and organizations, campus ministry, campus security,	Annual goals and objectives reports and SWOT analysis, student needs assessment, campus crime statistics, NOEL-LEVITZ Student Satisfaction Survey, quality of life survey, student participation statistics, one-year graduate employment survey, event

	recreation and wellness programming, health services, athletics, international student services.	evaluations, in-house evaluations of counseling services, health services tracking report on number of visits and diagnosis, exit interviews, applicable University committee meetings, NCAA Academic Progress Report, international student town hall meetings, international student evaluation, internal operational review of safety and security, commuter liaison feedback.
Facilities Management	Custodial services, new construction and remodeling, grounds, maintenance, facilities master planning.	Annual goals and objectives reports and SWOT analysis, inspection reports, quality of life survey, in-house maintenance satisfaction survey, facilities planning committee meetings, open forums, external operational review.
Alumni and Advancement	Alumni relations and fundraising	Annual goals and objectives reports and SWOT analysis, track dollar and percentage of alumni giving, mini-operational review and reorganization, alumni association feedback.
Marketing and Communications	Media relations, University and alumni publications, special marketing events, website development & maintenance, recruitment literature, internal electronic publications.	Annual goals and objectives reports and SWOT analysis, data collection on web site hits, press clipping service, web-based analytics, general interest surveys with target audiences, strategic integrated marketing committee meetings.
Financial and Auxiliary Services	Accounts payable, work study program, human resource management (HRM) services, benefits, payroll, print shop, food services, mailroom and mail services, bookstore, and risk management services.	Annual goals and objectives reports and SWOT analysis, budgeting process, open forums, federal and state regulations, food services satisfaction survey, mail services in-house satisfaction survey, annual professional development survey, applicable University committee meetings, benchmarking financial data, professional development committee.
Information Technologies (IT)	Network, WAN, and LAN services, ERP (Jenzabar/myUIU) services, VOIP and telephone services, sser support services, server management and	Annual goals and objectives reports and SWOT analysis, daily systems checks, track up-time, bandwidth and network equipment utilization, external operational review, technology committee meetings.

	administration.	
External Relations	Community enhancement and legislative affairs	UIU and community open forums, Iowa general assembly legislative reception, routine meetings with local, state, and federal elected officials and community leaders, annual goals and objectives reports and SWOT analysis.

Table 6.1 Identifying key academic and administrative support service needs.

6P3 Physical Safety and Security

The culture of continuous improvement the AQIP process instills has allowed UIU to incorporate emergency planning not only on the campus in Fayette but also to include the Academic Extension Centers and International Programs Centers.

The dean of students, various Academic Extension Center directors, the executive director of international programs, and risk management personnel are responsible for designing, maintaining and communicating the key support procedures that contribute to the physical safety and security of the University community. There are two committees responsible for the development of these procedures. The Emergency Management Committee (EMC) and the Campus Security Committee, both chaired by the dean of students, are instrumental in implementing and evaluating the procedures. "No fault" training exercises are conducted on a yearly basis as one method of evaluating procedures. From those exercises, the University identifies gaps and implements corrective actions to strengthen its procedures.

The President's Cabinet receives regular updates regarding the work of the EMC. The University community is notified through the University e-mail system of any revisions to procedures as a result of the exercises or cabinet review. Other forms of communication include faculty, staff and student handbooks; posters on bulletin boards; table tents in the student lounges and cafeteria; course syllabi; and the university common network drive (G: drive).

Additionally, daily physical safety and security at the Academic Extension (AE) and International Programs (IP) Centers collocated on community college campuses, secondary schools, or on military installations is provided by the host. These Centers fully follow the emergency planning and response procedures and protocol for the host institutions. Freestanding Centers have physical security contracted with local providers. Emergency planning and response procedures have been established to comply with UIU practices and local emergency management guidance.

The University has formed a work group to conduct an evaluation of the Office of Campus Security on the Fayette campus. Although this is not a formal AQIP action project, it is part of our continuous improvement efforts and listed as a goal and objective for the Dean of Students for the 09-10 academic year.

6P4 Day-To-Day Management

UIU empowers all employees to meet the needs of its students, faculty, staff, and key organizational stakeholders throughout the university through methods that enhance academic programs, help students learn, and increase student and stakeholder satisfaction. The AQIP continuous improvement culture is intended to be instilled throughout the entire organizational structure.

The management of UIU's day-to-day processes is supported and enhanced by team or staff meetings, committee structure and task specific work groups, continuous improvement training tools, UIU and externally sponsored professional development activities, UIU's Enterprise Resource Planning (ERP) system (Jenzabar EX), myUIU web portal, shared network drive (G: drive), department specific management reports, reorganization strategies, President's Cabinet meetings, faculty governance, and student governance.

Effective communication is essential to the day-to-day management of student, administrative and organizational support services. Category 7 [Process of Collection](#), Table 7.1, addresses distribution and communication mechanisms in more detail.

6P5 Documenting Support Processes

UIU departments have policies and procedures manuals that document processes. Manuals are used for continuity in training new and current employees and are revised periodically to incorporate latest innovations and recent knowledge. Empowerment comes from key stakeholders having input into the content of the manuals, training programs, and day-to-day operations.

A specific example of how UIU documents its support processes is the annual goals and objective documents that are required of all president's direct reports (see [President's Goal Setting Guidelines](#)). Refer to Category 6 regarding documenting student and administrative support processes and [Performance Results for Support Processes](#) for an illustration of processes, services, and performance results.

6R1 Measures Collected and Analyzed Regularly

The measures of student, administrative and organizational support service processes that UIU collects and analyzes are depicted in Category 7 (7P1). AQIP Action Project "Jenzabar Internet Campus Solutions Implementation" relates to this question and is ongoing.

6R2 Student Support Results

A number of changes in student support services resulted from processes in place to identify student support needs. Specific AQIP action projects borne out of these processes and resulting in specific improvements were "Developing a Retention and Persistence Management Plan," "Enhancing Academic Support Systems" and "Online Course Management Platform."

[Performance Results for Support Processes](#) provides a combined illustration of the performance results for student and administrative support systems.

6R3 Administrative Support Service Results

Processes in place to identify needs for administrative support resulted in the action project "Improve Human Resource Services to Employees through Improved Communication and Training." Through this action project and other initiatives it inspired, many new activities and support services were realized.

[Performance Results for Support Processes](#) provides a combined illustration of the performance results for student and administrative support services.

6R4 Improving Services

UIU's key student, administrative, and organizational support areas' use of information and results to improve their services is summarized in Category 7. [Process of Collection](#), [Performance Results for Support Processes](#), provides a list of improved services.

6R5 Comparing Performance Results

In April 2007, UIU established a benchmark committee, modeled after the AQIP process, to identify other comparable higher education institutions nationally for university-wide comparisons of key performance indicators. A draft of the committee's report will be shared with the University community in the fall of 2009 for feedback and discussion.

6I1 Recent Improvements

Supporting organizational operations, identifying student, administrative, and stakeholder needs, and improvements to support service processes are a result of integrated strategic planning and continuous improvement processes. UIU's culture of making data-informed decisions is evident in planning, development of specific goals and objectives, implementation of strategic plan initiatives, and the successful completion of the many formal and informal AQIP projects over the last 5 years. UIU's Strategic Plan was developed in accordance with AQIP principles.

Responses to the process questions and Table 6.1 (see 6P2) reflect Upper Iowa's various methods of gathering feedback and data to drive continuous improvements throughout its instructional, academic support, and student and administrative service processes. Improvements to the physical safety and security have been enhanced by a proactive Emergency Management Committee and the President's Cabinet involvement with the same. Effective day-to-day management occurs as a result of empowering employees and having a student centered service mentality. UIU's dedicated faculty and staff are the key reason for these improvements. University faculty and staff demonstrate a genuine passion for teaching and learning and providing effective operations to support the University mission and vision.

Responses to the results questions demonstrate a proven record of significant improvements and accomplishments over the last five years. The major improvements to organizational operations are illustrated in [Performance Results for Support Processes](#), Table 6.2. These improvements include:

- The following AQIP Action Projects:
 - Improve Human Resource Services to Employees Through Improved Communication and Training
 - Developing a Retention and Persistence Management Plan
 - Jenzabar Internet Campus Solutions Implementation
 - Enhancing Academic Support Systems
 - Online Course Management Platform
- Enhanced enrollment management practices that include tracking prospects, measuring yields, and the use of Noel-Levitz leverage analysis for financial aid packaging
- Significant improvements in financial aid work flow and processing times
- Establishment of the Center for Distance Education (CDE) and alignment of Term schedules across modalities
- Refined and enhanced the Emergency Management Committee's (EMC) duties and responsibilities, Developed routine full scale and table top exercises with local, county and state officials
- Development of a Facilities Master Plan (FMP) with initial and ongoing involvement of "stakeholders" including vision, guiding principles, and a phased approach to future enhancements to the UIU facilities
- Plans for UIU's first ever comprehensive capital campaign

- Creation of an Integrated Strategic Marketing Committee to coordinate all marketing initiatives throughout the UIU enterprise
- Alignment of budget processes to connect resource allocations to specific goals and objectives that relate to the Strategic Plan initiatives.
- Installation of wireless access across the Fayette campus to all buildings and hot spots; implementation **myUIU** portal system to UIU; and improved **myUIU** efficiency and e-mail distribution to the AE students and adjunct faculty
- Establishment of the e-Center in 2007 (a university department) to move forward community enhancement initiatives by improving area businesses' ability to engage in e-Commerce
- Community-wide strategic planning process launched in 2007 and approved at the April 2008 Board meeting

Organizational support service operations are continually assessed and monitored through the annual updating of goals and objectives and the various other feedback mechanisms illustrated in Table 6.1 (see 6P2).

6I2 Improving Performance Results

AQIP has inspired a culture of continuous improvement and the university-wide strategic plan provides the infrastructure to help select specific processes to improve and to set targets for improved organizational operations and improved student and administrative support processes. As noted in Category 1I2, "this culture certainly has permeated the academic and administrative *infrastructure* of the university to the point that university personnel now willingly initiate process improvement even outside of an AQIP action project arena." [Performance Results for Support Processes](#) lists Upper Iowa's academic and administrative support processes and the many process improvements and results that have occurred as a result of our careful and strategic selection of informal and formal AQIP projects and strategic initiatives.

AQIP Category Seven. MEASURING EFFECTIVENESS

7P1 Select, Manage, and Distribute Data and Performance Information

As discussed in 7P2 and Category 8, UIU's AQIP Action Projects and the "Pathways to Global Learning" strategic plan drive many of the improvements in programs and services related to this portfolio submission. UIU strives to select, manage, and distribute data and performance information in a manner that leads to data-driven decisions for program and service improvement projects or initiatives.

[Process of Collection](#), Table 7.1, provides an illustration of the types of data that are collected, managed, and distributed by administrative and academic support departments as they relate both to instructional and non-instructional programs and services.

7P2 Supporting Planning and Improvements

With the revision of the institution's mission and vision and the implementation of the strategic plan, UIU launched a series of data-driven initiatives using AQIP action projects to tackle important areas needing improvement in instructional and non-instructional programs, services, and planning. The strategic initiatives are the basis for selection of the performance indicators tracked. At the level of the board of trustees, the initiatives provide the structure for quarterly reporting of university outcomes. On a monthly, basis the President's Cabinet reports performance information on each of the nine strategic initiatives (see [Collaborative Strategic Plan Workbook](#) discussed in 8P1). The strategic initiative progress reports are posted to the university website on a monthly basis.

Each University unit has developed goals and objectives based on the strategic plan. All UIU units conduct an annual review of individual goals and objectives and make adjustments as necessary. Data and performance information for these goals and objectives are included in "baseline data" and "performance indicators" related to every UIU unit supporting a given goal. As data and performance information is selected, managed, analyzed, and distributed ([Process of Collection](#)), AQIP projects ([Retired](#) and [Current](#)) are initiated to address issues and develop solutions to improve processes across the global campus. Units at every level conduct reviews of performance indicators to assess the following areas for improvement (reviews vary in frequency depending on the unit):

- Progress related to goals and objectives;
- Strengths, Weaknesses, Opportunities, and Threats (SWOT) and ongoing challenges
- Input for ongoing AQIP projects
- Possible AQIP initiatives
- Resource needs
- Current and projected return on investment (ROI) for all resources received/requested

In addition to the strategic planning process, open forums and the UIU website are utilized extensively to distribute information and obtain feedback from both internal and external stakeholders. These forums and methods of communication have been used to discuss, develop, and update communities on:

- AQIP projects
- UIU's strategic initiatives
- UIU's financial status, current and future budgets, and resource allocation metrics

- Capital project improvements and other facilities related initiatives
- Facilities management
- Enterprise-wide learning management platform transitions
- Issues related to the economic development of the area

Occasionally, in an effort to maximize resources and efficiency, the University has utilized external expertise or consultants to select, manage, and prepare information for distribution in efforts to support planning and improvement for the following areas:

- AQIP projects
- Capital improvements
- Facilities expansion or management throughout the global campus
- Market analyses on educational needs, satisfaction, awareness, growth potential, student services, perceived quality or value, competition, and marketing/advertising
- Potential institutions for benchmarking
- National searches for key leadership positions
- Professional development

7P3 Determine Department Needs

UIU implemented an Enterprise Resource Program (ERP) solution (Jenzabar) in 2002. An information technology staff member led the implementation team of “module managers” from a cross section of functional departments. Each department (administrative and academic) was charged with a review of work flow and processes and made recommendations to the team as to what data elements would be stored in which data fields in the applicable Jenzabar module. Jenzabar provided technical assistance and advice to the implementation team. The implementation team also designed the security features relative to accesses Jenzabar data.

Academic support and administrative departments are also empowered to use the network servers (G drive) and myUIU portal to collect, store, and distribute data and information. The use of the G drive and myUIU portal allows for collaborative use of data and information and provides transparency relative to the various AQIP actions projects and strategic initiatives.

See 7P7 below for more information regarding accessibility of data and data security relative to Jenzabar, network servers, and the myUIU portal.

7P4 Analyzing Overall Performance

As described in 7P1, above, AQIP and the University’s strategic planning process have created a data driven culture at UIU. The [Process of Collection](#) table provides a list of types of data that are analyzed at the departmental or function level.

Organizational analysis of data and information occurs at multiple levels. These include:

- The Board of Trustees reviews a select, few, key performance indicators to track overall performance of the University from a strategic and fiduciary point of view;
- Board committees track selected key performance indicators relative to their respective committee purpose and charge;
- The president’s cabinet tracks selected key performance indicators, including operational data and information;
- Departments track key performance indicators that are necessary to ensure that programs and services are operating effectively and efficiently;

- Overall performance in courses and programs are evaluated by each individual faculty member. Revisions in current courses or new programs are based on student needs and comparative data from peer-institutions or relevant professional organizations. Proposed changes are reviewed by the relevant academic division(s) and are then submitted to the cross-sectional Curriculum Committee-Graduate Curriculum Committee (CC-GCC) for approval. If the CC-GCC approves the changes, the final program changes are submitted to the Administrative Academic Review Team (AART) for final approval.

The applicable direct report to the president is responsible for selecting and distributing data and information relative to each of the above organizational levels. 7P2, above, explains the various forums and methods of sharing the analysis of data and information throughout the organization.

7P5 Determining Comparative Data

In April 2007, UIU established a benchmark committee, modeled after the AQIP process, to identify other comparable higher education institutions nationally for university-wide comparisons of key performance indicators. A draft of the committee's report will be shared with the university community in the fall of 2009 for feedback and discussion.

7P6 Aligning Organizational Goals

As above, each University unit has developed data-driven goals and objectives based on the strategic plan. See 7P2, above, and [Process of Collection](#).

7P7 Ensuring Timeliness, Accuracy, Reliability, and Security of Information Systems

UIU has utilized an ERP product, Jenzabar EX, since 2002 to provide a common data base for all administrative and academic support functions and processes. UIU also provides access to secure common work spaces (G drive) *via* network servers and the UIU web portal (myUIU). UIU utilized the AQIP process to develop a solution to provide [grades online](#) through the acquisition of the Jenzabar Internet Campus Solution (JICS) software (myUIU). During this process it was realized that additional information was needed online, and as a result an implementation team was formed, an [AQIP action project](#) was created, and the JICS software (myUIU) web portal was implemented.

In 2007, UIU conducted an external review of its IT operations. This review aided in the development of the [IT strategic initiatives](#). This initiative highlighted the need for additional administrative capacity and improved systems security. Each division/department ([Process of Collection](#)) is responsible for entering data into relevant Jenzabar modules in a timely and accurate manner. Data security is managed by the IT department. This is accomplished by maintaining security at a user, group, and task list level. Users in the various departments at UIU only have access to electronic information and data related to their area.

The IT System Administrator performs and completes, on a daily basis, system checks of all UIU internal systems--including, but not limited to, all University servers, networking equipment for both local and wide area networks, storage systems and data backup systems. Security logs from the University firewall and Intrusion Detection System are automatically emailed to the IT Director and the IT System Administrator on a daily basis for their review.

All UIU servers and data are synchronized in real-time between two separate physical locations. In the event the primary location becomes unavailable, operations can continue from the secondary location with minimal downtime. All critical IT equipment is attached to

uninterruptable power supply units. These units protect critical IT equipment from electrical power surges and brownouts. Further, the University has a 1 mega-watt power generation system capable of providing electricity to the entire Fayette campus in the event that the local electrical power service is interrupted or becomes unavailable. UIU has a fully integrated backup solution for all UIU servers and data. This solution is configured to backup on a daily, weekly, and monthly schedule. These backups follow a disc-to-disc-to-tape routine. Tapes are securely stored to an off-site bank vault. All UIU systems are refreshed on a set rotation to keep current with new technologies and to maintain optimal performance.

7R1 Regular Measures of Effectiveness

UIU regularly monitors all UIU systems with the use of software applications allowing for real-time statistics. Data collected include system up-time, system availability, system performance monitoring, and user usage. These data help the IT department identify system needs. The software applications assist with determining the reliability of all UIU systems.

Web Services monitors website performance through the use of “logfile” analysis and page tagging for the purposes of understanding and optimizing web usage.

7R2 Evidence of Effectiveness

Both Category 6, [Performance Results for Support Processes](#), and Category 8 demonstrate that UIU’s participation in the AQIP program and the University’s steadfast conviction to tying annual goals and objectives to strategic initiatives ensures that the University meets stakeholder needs for accomplishing the mission and goals of Upper Iowa University. Each individual goal and objective has specific performance indicators that provide the evidence of institutional ability to measure effectiveness.

7R3 Results Comparisons

As enumerated in 7P5, above, UIU is in progress with a benchmarking initiative modeled on AQIP lines to identify comparable higher education institutions nationally for university-wide comparisons of key performance indicators.

7I1 Improvements

Measuring effectiveness improvements are directly related to UIU’s strategic plan, developed in accordance with AQIP principles. Responses to the process questions reflect the direct alignment of measuring effectiveness to the strategic planning process.

The major improvements in measuring effectiveness (7P1 and 7P2) related to instruction and planning are the clearly defined goals and objectives tied to the strategic initiatives, and the use of formal and informal AQIP projects. Specifically, all units utilize data and information in developing performance indicators and baseline data to justify all resource requests and provide evidence on the return on investment. The multi-level involvement in the organizational analysis expressed in 7P4 demonstrates UIU’s holistic process for data management and distribution of information.

An example of a measuring effectiveness improvement is the development of the “JICS Implementation” AQIP action project, which resulted in the pivotal myUIU portal (7P7). This vehicle provides a timely, accurate, and reliable platform for distribution of information and data to the UIU global community. Likewise, Jenzabar EX provides the foundation for measuring effectiveness by creating a common database for the university community to access data and information to manage and impact performance improvements.

Another example of measuring effectiveness improvement is the “Developing a Retention and Persistence Management Plan” AQIP action project. These cross-university systems allow UIU to track the essential components of student success. The results of this AQIP project allowed UIU to begin carefully tracking enrollments and demonstrated migration as a component in the growth of the online modality. Additionally, the collection, management, and distribution of this data for UIU Academic Extension Centers showed that the institution as a whole was not “losing” students; rather, students were choosing a combination of modalities within UIU (online, on-site, Institute for Experiential Learning (IEXL), and hybrid). This cooperative effort improved morale within each UIU modality. Chart 7.2 illustrates student migration between modalities. Measuring effectiveness improvements accomplished to date are continually assessed and monitored through updating of goals and objectives on an annual basis.

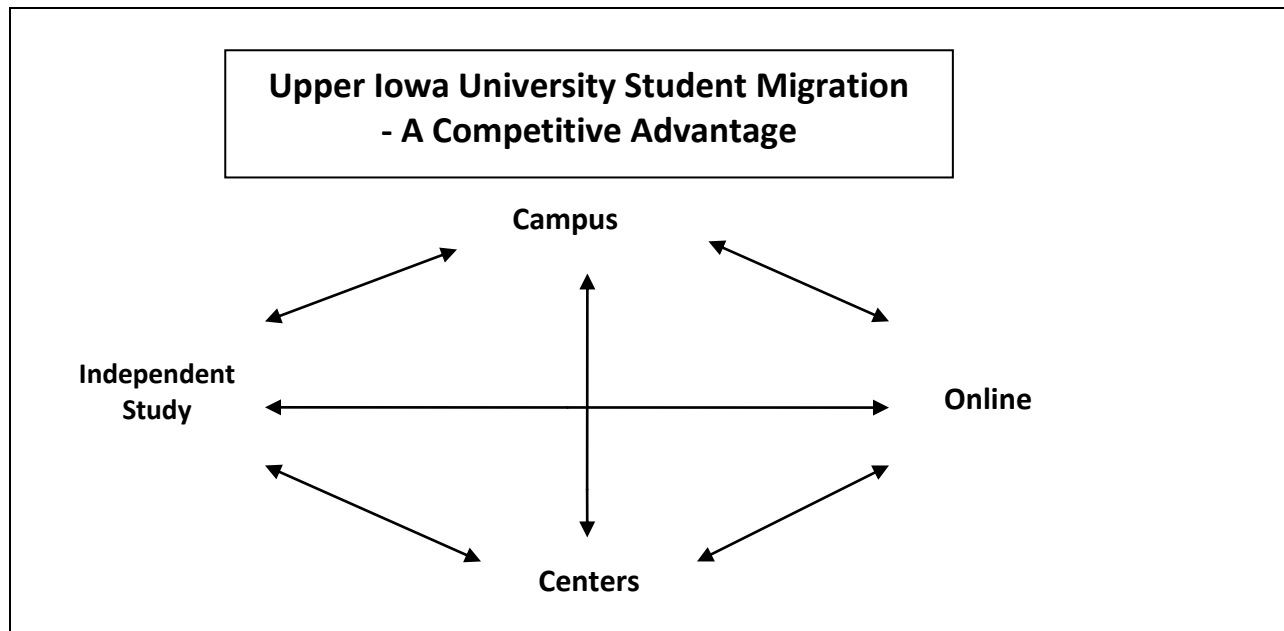


Chart 7.2 UIU student migration between modalities

712 Supporting Culture and Infrastructure

AQIP has inspired a culture of continuous improvement and the university-wide strategic plan provides the infrastructure to help select specific processes to improve and to set targets for improved performance results in measuring effectiveness. As noted in Category 112, “this culture certainly has permeated the academic and administrative *infrastructure* of the university to the point that university personnel now willingly initiate process improvement even outside of an AQIP action project arena.”

The selection/collection, analysis/management, distribution, and use of data are essential for measuring the effectiveness of the university’s planning and improvements at every level of the organization. The [Process of Collection](#) table lists Upper Iowa’s division/departments, and specifically describes the various methods by which this process is conducted.

AQIP Category Eight. PLANNING CONTINUOUS IMPROVEMENT

8P1 Key Planning Processes

There are numerous planning processes, undertaken at the department, division, and university levels, throughout Upper Iowa University. Small-group planning processes within the University tend to be quite variable in their structure and methods. Sometimes outside consultants or agencies are invited or hired to review programs, recommend improvements, and/or facilitate strategic planning--as is the case with planning processes underway in the art department, as well as in the recent reorganization of Facilities Management and Services. Additionally, UIU's education department received a Teacher Quality Enhancement Grant through the state Department of Education to revise candidate and program evaluation. The education department's process of planning, implementation, and review will continue to be monitored by an outside team. In other cases, small-group planning may involve benchmarking information from regional competitors, as is routinely done in athletics (e.g. benchmarking Northern Sun conference schools) and as was done with strategic planning in the biological sciences department (see 112).

Several examples of university-wide planning can be cited, including the annual budget process (see 5P2), the creation of the Facilities Master Plan (see 8P4), and Professional Development Day activities (see 5P8). However, the most systematic and comprehensive planning process has been the recent university-wide [strategic planning](#) process. In 2007, UIU's president, in concert with the Chair of the Board of Trustees, initiated this process by inviting stakeholders from all segments of the University to become members of a university-wide Strategic Planning Steering Committee. No such university-wide planning process had been undertaken at Upper Iowa University since the early 1990's. Each member of the committee was given a book to read, *The World is Flat: A Brief History of the Twenty-First Century* by Thomas L. Friedman. The book formed a foundation that set the stage for visionary planning; key themes from the book became the framework for the University's strategic plan, which is now aptly entitled "Pathway to Global Learning: A Vision for UIU's Future."

The steering committee was led by a representative from the Association of Governing Boards, who was hired by the University to act as a consultant and as a facilitator of the planning process. The committee met in a series of meetings throughout the 2007-2008 academic year. First, it reviewed and refined the University's mission and vision statements. Next, it undertook a SWOT (strengths, weaknesses, opportunities and threats) analysis of the University (see page 10 of the [Strategic Plan](#)). Then, subgroups of the steering committee developed white papers which examined how the University could achieve the various aspects of the vision statement (e.g. being an "exceptional and ascending institution of higher learning"). From here, an overarching theme (UIU as one flat global campus) was adopted, and key strategic planks (such as the need for seamless movement across the University) began to emerge. New subgroups of the committee were reformed, and additional stakeholders were added to these groups. These subgroups started to flesh-out the strategic objectives and action plans necessary to achieve these objectives. The groups also attempted to identify resource needs to carry out the action plans.

The steering committee developed a draft strategic plan by integrating the ideas from each subgroup. This draft was posted on a public website, where the entire University community could offer comments. The President and the Chair of the Board of Trustees fashioned responses to the public comments. A second draft of the plan containing nine strategic initiatives, along with details for achieving these initiatives, was developed. A second public

forum was held, and a final draft of the plan was prepared by members of the committee. Finally, it was reviewed and approved by the Board of Trustees in April of 2008.

8P2 Selecting Short-term and Long-term Strategies

Each organizational unit within the University has the opportunity to identify and recommend short-term and long-term strategies at any time. Sometimes, this may be done in more structured ways, such as *via* an academic department's quadrennial assessment process or a vice-president's organizational reports. At other times, short-term and long-term strategies may develop during independent reviews, such as a Department of Education site visit or the audit of the University's Information Technology support unit. In all cases, recommendations requiring additional resources must be justified and forwarded to the administration for review and allocation approval during the University's annual budget process. During the university-wide strategic planning process, both short-term and long-term objectives were identified for strategic initiatives, and these issues were prioritized based on assessed need, timeframe to complete, and resources required. Strategic initiatives were identified that could become AQIP projects.

8P3 Developing Key Action Plans

Initial action plans were developed for each objective of the nine strategic initiatives in the University's strategic plan during the planning process described in 8P1. Some were labeled as the responsibility of an AQIP team. Monitoring and modification of these action plans is currently made possible *via* an interactive outline (see 8P4). Additional action plans that impact the entire University may be developed in other key organizational bodies, such as the AQIP Steering Committee, the Board of Trustees, the President's Cabinet, or the senior management team (see [Goals and Objectives process](#)).

8P4 Coordinating Planning Across the University

The University's strategic plan is available on the University's website (see the [Strategic Plan](#)). An interactive outline of strategic initiatives, timelines, and budgets is also available on the University's website, where any stakeholder can contribute comments to any points of the plan at any time (see [Collaborative Strategic Plan Workbook](#)). The collaborative nature of this outline facilitates coordination and alignment of strategies and action plans, and it allows synergies across the plan to be identified and further developed. Examples of coordinating efforts can be seen in comments on the workbook, such as (1) the sharing of faculty between the Fayette campus and the Hong Kong center (strategic initiative 1); (2) the involvement of faculty in the planning process for new facilities to house the Division of Liberal Arts and the Division of Science & Mathematics (strategic initiative 3); (3) the exploration of synergies between the Fayette campus, Academic Extension, and International Programs in developing a new Career Development position (strategic initiative 4); and (4) the collaboration between Marketing and Communications and Enrollment Management units to grow enrollments on the Fayette campus (strategic initiative 5).

The Strategic Plan (section V) emphasizes the need for individual stakeholders and divisional units in the University to develop their own goals and objectives that tie in to the responsibilities of their organizational unit, as outlined in the strategic initiatives (section XI). Individuals within an organizational unit can then coordinate time and resources accordingly. If the need arises to consider adding objectives or modifying objectives in the plan, the organizational unit leader can bring these new ideas to the table. Vice presidents obtain input from the organizational unit leaders reporting to them, and they can utilize this information in the development of annual plans. Items in these plans that require resource allocation will be forwarded to the Chief Financial Officer and to the president for inclusion in the annual budget meeting process. In this forum, new ideas and action plans from across the University can be reviewed and discussed.

All stakeholders have an opportunity to share opinions on the merits of proposed action plans during the budget meetings; also, stakeholders are given the opportunity to share their views with the administration on the prioritization of new action plans for funding in the next budget cycle

In addition to the strategic planning and annual budget processes, there are several key committees that play a role in coordinating action plans that impact critical areas within the University. Conscious effort was put into designing membership of these committees to include representation across the University from all units relevant to the charges of these committees. One of these key committees is the AQIP Steering Committee, which directs academic quality improvement activities, recommends the initiation of new AQIP projects, and reviews and reports on progress as required. Another key committee is the President's Cabinet, which provides a forum for direct communication and coordination among organizational managers across the University. Other key committees are the (combined) Curriculum Committee, which reviews and approves all new and revised undergraduate academic proposals, and the Graduate Curriculum Committee, which does the same for new and revised graduate academic proposals. These bodies provide an opportunity for representative faculty and administrative staff from across the university to review proposals coming from all academic divisions, to ask questions, and to offer recommendations that may lead to improved alignment of proposed academic programs with the University's mission, vision, and strategic initiatives.

Finally, a prime example of coordinating and aligning planning processes is the Facilities Master Plan improvement project. This capital building plan was developed by the Board of Trustees simultaneously and in line with the initiatives in the strategic planning process outlined in 8P1. The plan includes the development of a new student union building, a new residential village, a new e-Center, a new building for the Division of Liberal Arts, and a new addition to the building housing the Division of Science and Mathematics. In the design phase, key faculty and staff stakeholders were asked to provide input to architects on building design, room layout, and space allocation. This allowed consideration to be given to how classrooms and labs should be designed to enhance student learning, as well as to how student union space could be allocated to enhance co-curricular activities. Coordination among the various building design teams also allowed the architects to maintain core themes across the Fayette campus landscape. The initial capital outlay (Phase I) was approved by the Board of Trustees in May, and work was begun on Phase I this summer.

8P5 Objectives, Measures, and Targets for Strategic Planning

The process for defining objectives, selecting measures, and setting performance targets for the nine strategic planning initiatives was outlined in 8P1. The resulting objectives, measures, and targets for the university-wide strategic plan are listed in a spreadsheet (see [Collaborative Strategic Plan Workbook](#)). Individual organizational units within the University do not have a standard process for defining objectives, selecting measures and setting performance targets; however, some specific examples of how this was done are also listed in 8P1. Discussions on the measures and targets for strategic planning will lead to revisions in the AQIP process. In particular, a more formal process needs to be developed to identify when targets are met.

8P6 Selecting Strategies Based on Resources and Needs

During the initial stages of the University's strategic planning process, steering committee members and subgroups were explicitly told to develop programmatic initiatives without regard for resources or expenses. Once all ideas were on the table, subgroups working on the first draft of the plan were asked to provide ballpark estimates of resource needs (facilities, personnel, time, and money). Some of the subgroups developed very detailed estimates of

resource needs, while other groups were hesitant to even hazard a guess at the budget required to implement action plans. This prompted considerable discussion in the steering committee meetings, as well as numerous comments in the first public forum regarding perceived budget inequities. Responses from the President and the Chair of the Board of Trustees were clear in stating that budget priorities would be carefully considered and equitably allocated as resource needs became more defined for each of the strategic initiatives.

The Chief Financial Officer (CFO) used software from *Future Perfect* to determine initial budget allocations for each of the objectives listed under the nine strategic initiatives of the University's Strategic Plan (see [Collaborative Strategic Plan Workbook](#)). This software has the flexibility to adjust resource allocations with changes in key budget parameters, such as increases to student enrollment or adjustments to targeted student: faculty ratios. The CFO can annually track budget expenditures associated with strategic action plans, and suggest adjustments to resource allocation during the next cycle of the budget process. A risk assessment was summarized in the strategic plan (see 8P7). University administrators will need to monitor increasing threats, particularly in light of the current economic environment, before approving budget expenditures associated with plan objectives.

One area that needs to be more closely examined in the strategic planning process is accountability for follow through with progress on strategic initiative action items (see 8P5 for formal process discussion). For example, the Strategic Planning Steering Committee has not met since the plan was approved by the Board of Trustees in April of 2008. Although key individuals or groups have been designated as being responsible for carrying out specific strategic initiative objectives, it is not clear who monitors their progress or who makes the final determination when an objective has been satisfactorily met. The [Collaborative Strategic Plan Workbook](#) allows anyone to comment on progress toward meeting objectives.

8P7 Addressing Risk in the Planning Process

Input from all levels of UIU, during the most recent revision of the Strategic Plan, was used to assess potential risk to successful implementation of the plan. This collaborative process produced a risk discussion that identified five areas of risk, as detailed in the [Strategic Plan](#) and summarized in Figure 8.1.

Risk Discussion: This strategic plan calls for the implementation of a comprehensive program of interrelated strategic and programmatic initiatives. In their combination, the recommendations for action will result in a university whose mission is served by a vision that is at once inspiring and challenging. The process of implementation may require that UIU perform at a pace and in areas yet uncharted that will stretch the university beyond its historic norms. There is, therefore, the need to discuss and anticipate what the principal risks are to the achievement of the plan's strategic outcomes.

1. Organizational Capacity - will become more complex and require additional managerial staffing.
2. Cultural Capacity - a shift toward a culture of performance excellence, accountability, and urgency.
3. Enrollment Transformation - the challenge of recruiting students for a global student body.
4. Resource Realities - dependent upon the ability to expand enrollment and philanthropic support.
5. Five: Governance Strength & Integrity - governance in collaborative partnership is essential to success.

Figure 8.1 Summary of risk assessment from UIU's Strategic Plan

Since March, 2008, UIU has used *Future Perfect* to model "what if" scenarios for their potential impact on financial measures of performance. *Future Perfect* models investment impact on key financial ratios (e.g., debt to equity and current ratio), cash flows, balance sheet, and statement of activities (debt handling). Input variables can be varied such that different scenarios and

strategies can be assessed. Each scenario can be viewed as a snapshot of a proposed investment, and financials can be tracked over time, to assess potential trends in key performance indicators. Projections of anticipated financial performance, under varying conditions of risk, can be made for the next few years.

The Facilities Master Plan Phase I building projects initiative (a \$31 million dollar investment) was modeled using *Future Perfect*. Oversight was provided by two committees of the Board of Trustees: the Facilities Planning Committee, and the Budget and Finance Committee. Once these committees examined the risk assessments and concurred that the building projects should be undertaken, the proposal was presented to the full membership of the Board of Trustees for approval. *Future Perfect* modeling was used to project estimates of future financial performance such that assurances could be made that UIU could service the added debt load the new buildings would require.

As UIU enrollments grow, *Future Perfect* software is also being used to model necessary increases in faculty to maintain the desired student to faculty ratio. By utilizing this process, several additional faculty have been hired, but only after potential risk had been adequately assessed. This assures that UIU has the appropriate number of faculty, that resources are managed wisely, and that threats of future retrenchment are minimized.

8P8 Addressing Changing Requirements in Strategies and Plans

The facilitator from the Association of Governing Boards, who led the Strategic Planning Steering Committee meetings, mentioned numerous times that any strategic plan is a living document, or a work in progress. This sentiment was also echoed repeatedly during these meetings and during the public forum responses by the University President and the Chair of the Board of Trustees. However one year after the plan was approved, the University still does not have a clear process in place for addressing changes to the plan. The University should either reconvene the Strategic Planning Steering Committee on an annual basis to review the plan and make necessary modifications or develop a process whereby the plan can be altered when determined necessary (see 8P5). Annual budget meetings may allow the University to make changes in resource allocation for strategic action plans; however, there is no group charged with responding to changing requirements that are part-and-parcel of a living document like the Strategic Plan.

8R1 Measures of Planning Effectiveness Routinely Analyzed

With regard to academic planning effectiveness, measuring student learning of general education competencies through task assessment and of major outcomes using quadrennial assessment of majors has been discussed in the category 1 results section responses. With regard to capital improvements planning effectiveness, the Facilities Master Plan is monitored continuously by the Facilities Committee and by the Board of Trustees. With regard to the University's strategic planning effectiveness, all strategic initiative objectives in the plan were tied to a metric; however, closer inspection reveals that most of these metrics list the nebulous statement "performance reviews and monitoring." The Strategic Planning Steering Committee or some other group needs to develop more concrete metrics for strategic planning effectiveness. Once clear metrics are developed, measuring effectiveness of achieving objective targets can be analyzed routinely.

8R2 Performance Results for Accomplishing Action Plans

The university-wide strategic planning process has yielded some documented successes, as alluded to in the Overview (see O8) and as corroborated in the [Collaborative Strategic Plan Workbook](#). For strategic initiative 1 (seamless movement of students and faculty), an AQIP

project led to the alignment of business majors between the RU and AE (see 111), and progress is being made on aligning RU, AE, and online term schedules. For strategic initiative 2 (developing a “global citizen” curriculum), an International Business major has been created, and the AQIP-driven RU and AE alignment of the business program also initiated a required international course component for all business majors. For strategic initiative 3 (enhancement of the academic program), much needed increases in full-time faculty, both on the Fayette campus and at the flagship AE centers, has been implemented. For strategic initiative 4 (co-curricular enhancement), new positions have been developed in Student Development and International Programs with specific responsibilities for co-curricular enhancement, and numerous cultural exchange events have been carried out between U.S. and international students on the Fayette campus.

For strategic initiative 5 (enhancing organizational units serving student needs), a reorganization of distance learning modalities has occurred, and more efficient marketing and targeting efforts have been implemented to assist in student recruitment and retention. For strategic initiative 6 (strengthening IT infrastructure), tremendous effort has led to enhanced IT service for students, faculty, and staff in the AE, including the use of **myUIU** for grades and registration. For strategic initiative 7 (enhancing communication), a new comprehensive employee orientation presentation has been developed and utilized, significant progress has occurred on the development of an integrated marketing and branding campaign, and a UIU Facebook presence is being established. For strategic initiative 8 (development of advancement), a chief advancement officer has been hired, and various grant proposals are being developed and submitted. For strategic initiative 9 (enhancing the Fayette community), Upper Iowa business development grants have been awarded to two businesses to date, and community forums have been held to promote Upper Iowa University’s vision in the community, and to tackle challenges facing the town as the University continues to grow and expand.

Additionally, performance results from other group planning efforts within the University indicate demonstrated accomplishments that merit mentioning. Since the University’s induction into AQIP, three AQIP action projects have been successfully completed and retired: (1) Developing a Retention and Persistence Management Plan; (2) Enhancing the General Education Outcomes and Simplifying Their Assessment; and (3) Improve Human Resource Services to Employees Through Improved Communication and Training. Also, successful results have already been alluded to in this systems portfolio for four ongoing AQIP action projects: (1) Aligning Majors with the University’s Strategic Plan; (2) Enhancing Academic Support Systems; (3) Jenzabar Internet Campus Solutions Implementation; and (4) Online Course Management Platform. On another front, in 2007 the University faculty responded to a need for a unified approach to academic governance by successfully developing, approving, and implementing a new unified academic pipeline, with its cornerstone being the university-wide Curriculum Committee and Graduate Curriculum Committee (see 1P3). In one final example, the Board of Trustees’ Facilities Planning Committee and the Budget and Finance Committee led the way in guiding the University in the development of a facilities master plan, for which the first phase of building efforts began on the Fayette campus this summer (see 8P4).

8R3 Projections for Performance

UIU uses financial modeling software (PFM - Future Perfect) to ask “what if” planning questions. The modeling software captures historic trends in financial statements (i.e., balance sheet, statement of activities and statement of cash flows) and financial ratios so that projections for yearly outcomes, based upon key planning assumptions, can be made. The key planning assumptions include:

- Enrollment projections by UIU modality;

- Tuition and fee pricing by UIU modality;
- Financial aid discounting for new and returning students;
- Gift and grant projections;
- Investments and investment income;
- Maintaining the current student/faculty ratio (i.e. adding faculty positions as enrollments grow);
- Increases to administrative and staff positions as enrollments grow;
- Compensation increases;
- Increases in general operating budgets (i.e. departmental budgets excluding compensation);
- Facilities (i.e. assumes increases in academic, academic support, student support, and administrative support spaces as enrollments grow);
- Debt and debt service; and
- Specific planning initiatives.

The above list of assumptions is vetted with the appropriate committees on campus (e.g. enrollment management and facilities management groups) and Board of Trustees committees. The Budget and Finance Committee of the Board reviews all the major planning assumptions listed above.

The model allows UIU to ask “what if” questions for any of the general planning assumptions and updates the projected financial statements, operating surpluses, and ratios instantly. The software also allows UIU to build specific planning initiatives into the model. These include projects related to the nine strategic planning initiatives and anticipated building projects.

UIU projects that over the next three years, it will be able to generate revenues sufficient to maintain the current student to faculty ratio of 14 to 1, and increase faculty and staff accordingly over that time span. Beyond the current \$31 million in construction projects, UIU projects being able to fund \$41 million for additional planned building projects that will begin in the next three to five years. The three-year enrollment projections for UIU are positive; projections are such that UIU expects to enjoy continued enrollment growth in all modalities, including record enrollment on the Fayette campus within three years.

8R4 Comparing Performance Results for *Planning Continuous Improvement* with Other Organizations

Currently, there is no comparison data of this type that Upper Iowa University could use to address this question. In 2007, the President’s Cabinet created a Benchmarking committee, charged with the responsibility of identifying appropriate institutions of higher education that would be most similar to Upper Iowa University. It is the hope that, once comparable institutions are identified, meaningful comparisons of this sort could be made.

8R5 Evidence of Effectiveness for *Planning Continuous Improvement*

Theoretically, meeting the metrics specified for each strategic initiative objective should provide some evidence that the University’s planning processes are effective. However, as stated in 8R1, the standard metric for most of these objectives (i.e. “performance reviews and monitoring”) is sufficiently vague to make drawing conclusions regarding effectiveness questionable. As a more formal process is developed (see 8P5), evidence of effectiveness should become more apparent. The Strategic Planning Steering committee or some other group should investigate this further.

8I1 Recent Improvements for *Planning Continuous Improvement*

The last strategic planning process to take place at Upper Iowa University, prior to Dr. Walker's tenure as president, occurred in the early 1990's. The process was fairly comprehensive and inclusive; however, goals and objectives were distinctly different for the Fayette campus vs. the previously-labeled Extended University centers. Also, monitoring of progress toward achieving these goals was non-existent. Individuals still with the University recall that the plan was essentially developed, approved, and then put on the shelf.

The strategic planning process approved in April of 2008 has led to more improvement in one year than was likely achieved during the many years following the last strategic planning effort in the early 1990's. The comprehensive nature of the plan was evidenced by the pool of University stakeholders who contributed to the process. The initial steering committee started with thirteen members, including the President, three members of the Board of Trustees, three staff members, one faculty member from each of the four academic divisions, one student, and one member of the alumni association. With successive iterations of the planning process, this group grew to approximately 25 individuals, including administrative and staff members from most of the University's organizational units, as well as local community members (including the superintendent of the local public school system). During the public forums, numerous other stakeholders made their opinions known in comments placed on an interactive web page (see [UIU Strategic Planning Website](#)). It is particularly notable that several faculty members provided comments (including one comment from the collective Division of Science and Mathematics), which pointed out details lacking in the plan and which made some suggestions for improvement. Published responses to these comments from both Dr. Walker and the Chair of the Board of Trustees provided explanations of the plan's direction, and acknowledged certain shortfalls. This healthy exchange of ideas and opinions resulted in two new strategic initiatives being added to the next iteration of the plan, in addition to some significant modification in other initiatives already present. This truly exemplifies the fact that faculty play a significant role in continuous planning improvement at Upper Iowa University, and that they take that role seriously.

The University's Strategic Planning process certainly was very systematic (see 8P1), with an independent moderator guiding steering committee members through a logical series of steps necessary to build the plan. The process was also comprehensive, as evidenced by the fact that the nine strategic initiatives cover the domains of most of the major organizational units within the University system (see Table 5.1). In-depth responses in this category have focused on the dominant theme of the University's current strategic planning efforts. Key steps in the planning process were outlined in 8P1. Cross-university coordination and alignment of planning efforts using the [Collaborative Strategic Plan Workbook](#) were discussed in 8P4. The use of *Future Perfect* software to manage the resource needs was elaborated in 8P6. The importance of risk evaluation and assessment, which may warrant plan adjustments, was covered in 8P7. Examples of performance results stemming from strategic planning efforts were reviewed in 8R2, and 1-3 year projections were outlined in 8R3.

8I2 Impact of Culture and Infrastructure on *Planning Continuous Improvement*

Planning Continuous Improvement is especially ingrained in the culture of Upper Iowa University's Division of Education & HPER, and so detailed planning processes, developed and approved by Iowa's State Department of Education, have been in place for quite a while in this division. However, it was the recent university-wide strategic planning process, in concert with AQIP action project efforts, which has spurred other organizational units and divisions within the University to develop and implement their own strategic planning processes. Examples of this for the art department, the Division of Business, and the Division of Science & Mathematics

have already been mentioned elsewhere in this section. It is interesting to note that the majority of senior administrative officials have been with UIU for less than two years; this infusion of new ideas and perspectives will likely enhance new planning and action initiatives. However, obtaining buy-in from all University stakeholders will always be challenging, and risk assessment must be routinely monitored to determine when planning adjustments become necessary.

AQIP Category Nine. BUILDING COLLABORATIVE RELATIONSHIPS

9P1 Educational and Organizational Relationships

Upper Iowa University recruits new students primarily from high schools and community colleges. The creation or maintenance of relationships with counselors and transfer coordinators is a high priority because these people are major influencers on the decision by students to continue their educations. The more information conveyed to them, the more likely they are to recognize students for whom UIU is a good fit. Maintenance of these relationships is one of the most important duties of UIU's admissions office staff, who proactively email, call, or write counselors with updates from campus, status updates for students who have applied, or just to touch base at milestone times during the year. Admissions staff members also visit targeted high schools and meet face-to-face with counselors at those schools at least once each year.

Upper Iowa University also interacts with various social or educational agencies operating outside of the schools. Examples include Upward Bound, the Iowa College Access Network, and Admission Possible. These agencies provide access to students not normally encountered in the typical recruitment process; developing and maintaining relationships with these groups is another high priority for the admissions staff. Building these relationships is usually accomplished by visiting offices, or interacting with staff while on campus. As many groups visit campus each year, there are multiple opportunities to meet with students whom they have referred to UIU and to provide updates to agency staff on the progress of current students, as well as discuss new or changing needs of the agency which may influence UIU's direction.

The UIU AQIP steering committee recognized early in its process the need to coordinate efforts to build relationships with community colleges, those being a primary source of students as noted above. Both the RU and the AE had independently developed articulation agreements with community colleges. Since the early thinking on action projects expected three-year timelines, the steering committee opted to have an informal action project in this area, believing the process could be implemented in a one-year time period. The AQIP model was used to form a team to develop a system that would produce articulation agreements covering all the offerings for the RU and the AE. The system needed to clearly delineate those courses available only on campus, and those the AE could provide. Within a year, a template for combined articulation agreements and a process to review the resulting articulations were developed. All articulations and updates are reviewed by the associate vice president for academic extension and registrar at UIU, using equivalence criteria and standards determined by faculty. A consistent and uniform system for accepting credits from other institutions is now utilized across the institution.

The articulation team recognized the importance of focusing efforts initially on community colleges in Iowa. Program articulations had been developed with some of these partner institutions and these were integrated into the larger course to course articulations. Program articulations facilitate the movement of students from an associate degree program to an undergraduate major and bachelor degree.

Institutions where UIU is co-located became the next priority. Articulation agreements were developed with technical colleges in Wisconsin and again specific program articulations were also developed. On military bases, where UIU is co-located with other institutions offering associate degree programs, articulation agreements have been developed in coordination with Servicemembers Opportunity Colleges (SOC) guidelines.

As the articulation process developed, UIU decided to formalize articulation agreements with the Partnership Advantage (PA) program. Students enrolling at UIU from any PA institution are exempt from the usual application fee. In addition, a tuition discount on all courses taken at UIU for academic credit is available for employees of PA institutions. PA articulations are posted on the UIU website and landing pages have been developed to link UIU and the partner institutions. By having these agreements available on the UIU website, students are able to review how coursework will transfer and maximize their credit transferability later to Upper Iowa University.

With the growth of online education, UIU is contacted regularly to develop articulation agreements with institutions offering online associate degree programs. A process to identify appropriate partners was developed by the AQIP team. Partners must have regional accreditation. They must offer programs compatible with UIU offerings. Curriculum is reviewed for academic rigor and content. The agreement partner must be notified of changes and updates to the articulation. To maintain the articulation agreements, an articulation and compliance coordinator was hired.

9P2 Student and Graduate Employer Relationships

UIU opened its first Academic Extension Center on a military base in 1992 at Fort Riley. The relationship with the US military has continued to grow since that time. In addition to the Fort Riley Center, the University now also has centers on Forts Leavenworth and Polk. The University is a participant of GoArmyEd, the Navy College Program Distance Learning Partnership, the Air University Associate to Baccalaureate Cooperative Program, and has educational partnerships with the Army National Guard Support Center and the Coast Guard Institute. The University communicates with installation directors of education to understand the needs of the military employers and to tailor curricular offerings to those needs.

In response to student and employer requests, UIU has developed the Corporate Advantage Program. The relationship with corporate employers facilitates the movement of employees to the next level of education in areas supporting an organization's needs. Through the Corporate Advantage Program, corporate training may be evaluated for experiential learning credit and applied to student degree plans. A tuition discount is available which may benefit the student or the employer if tuition assistance is offered. UIU's corporate partners provide insight on current educational needs specific to their area (see <http://www.uiu.edu/transfer-corporate/index.html> for web page listing corporate partners).

Another example of Upper Iowa University working with employers is demonstrated by the reactivation of its nursing program, redesigned to address a regional deficiency of nurses educated at the baccalaureate level. Iowa has a low percentage of its nursing workforce prepared at the baccalaureate (and higher) level. In 2005, local hospital administrators and nursing professionals approached Upper Iowa University about the possibility of developing an RN to BSN program to meet the educational needs of their staff. To assist area employers and the State of Iowa in meeting this need, President Walker formed a nursing exploratory committee made up of hospital administrators, faculty and staff from Northeast Iowa Community College as well as faculty and staff from UIU. A needs assessment indicated a definite need for a program accessible to working nurses. UIU offers the program on its residential campus in Fayette, and at centers in Cedar Rapids and Des Moines. The exploratory committee eventually became the Nursing Advisory Committee, which is comprised of students, faculty, and hospital and community college representatives from each of our delivery areas. The committee meets quarterly to advise the director of nursing education on matters related to program development. The University has earned accreditation by the Commission for Collegiate Nursing Education

(receiving the maximum 5 year approval) and is approved by the Iowa Board of Nursing (receiving the maximum 6 year approval).

The office of career development and individual divisions collaborate in the area of internships. The number of student interns varies by term and by year; it depends on the number of students who have reached that level of preparation within the major as well as requirements of the major itself. For some majors, an internship is considered a crucial part of the educational process and is required; for other majors internships are optional, but generally recommended. Faculty members supervise all internships. The execution of pre-internship tasks may be carried out in one of two ways. In some divisions paperwork and leads for internship sites are generated by the division itself; for others, those processes are conducted by the office of career development. In those cases students are responsible for contacting potential internship sites and must follow employers' specific hiring processes.

The disciplines of criminology, psychology and health, physical education, and recreation (HPER) utilize campus community entities for their internships; many of these relationships have continued for more than seven years. A long-term partnership has developed between the math and science division and the Volga River State Recreation Area, primarily as a result of student internships. Additionally, faculty and students often utilize their knowledge and skills to provide services to organizations. For example, one professor and his students perform water quality monitoring for the Fayette Soil and Water Conservation District, City of West Union and Maquoketa River Alliance, creating a strong bond between UIU's math and science division and these organizations.

In response to a shortage of entry-level social workers in the state of Wisconsin, the Wisconsin legislature developed an alternate route to social work certification. UIU created an enhanced version of the human services major offered at all Wisconsin centers. This major allows students to qualify for the Social Work Training Certificate, giving them 2 years while working in a social work position to take the social work exam. Likewise, clinical experiences in schools are an integral part of the UIU Teacher Education Program. Positive and lasting relationships with employers are produced in the division of education as area K-12 schools utilize UIU students as student teachers and employ UIU graduates. Based on the "Iowa Teacher Shortage Areas" designated annually by the Iowa Department of Education and on calls to UIU from area schools, several teacher licensure areas have been added or expanded at Upper Iowa University in recent years at both the undergraduate and graduate level, two examples being English as a Second Language and Industrial Technology.

UIU supplies support and partnerships in grant proposals with area school districts (Starmont Community School District, Oelwein Community School District, North Fayette Community School District, Rainbow Land Preschool, and Oelwein Public Library). The University is currently involved with Valley Community School District in Iowa Core Curriculum Roll-out and in the introduction of Virtual Reality Systems.

Other examples of relationships include the Partner in Education program with Waterloo's Central Middle School, the mentoring and Outdoor Education programs at Oelwein Middle School, and demonstration and instruction for area-wide schools' Pioneer Day held at North Fayette School District's Fayette Elementary School.

9P3 Student Services Provider Relationships

Upper Iowa University works collaboratively with organizations and businesses that provide services to its students. At the Fayette campus, as well as at many of UIU's centers, information

about local businesses, retailers, and service providers is provided to all new and returning students. Relationships with Sodexo (campus dining services) and with www.MBS.edu, website provider of textbooks for AE students, are two examples of relationships that result in expanded student services. Sodexo conducts occasional student surveys and incorporates student responses in collaborative planning with the institution. Sodexo is the most frequent caterer for special events on campus, and it also provides “surprise me” packages which parents can purchase for delivery to their student. Sodexo now awards several scholarships to UIU students annually and, in addition to making significant monetary contributions to Team Peacock’s RAGBRAI scholarship drive, also supplies the majority of beverages to UIU riders during that event.

9P4 Materials and Services Provider Relationships

Upper Iowa University operates its business support functions through the selection of business partners who can provide quality, cost-efficient products and services over multiple years. These mutually beneficial relationships assure that UIU can receive the needed services with minimal administrative burden which allows the organization to focus on its mission of student success and academic outcomes.

These relationships can sometimes result in greater community benefit as was demonstrated when the Cedar River flooded the downtown area of Cedar Rapids in 2008. As a result, numerous businesses suffered total loss of physical business locations. One business impacted, Stamats, had been a long time provider of market research and information to UIU. UIU’s Cedar Rapids Center was unaffected by the flood and through quick, cooperative efforts, rearranged the space utilization of classrooms and administrative areas to provide a business home for approximately 90 Stamats employees from June through December of 2008. This allowed Stamats to rebuild their physical infrastructure while continuing to provide full employment and services to their stakeholders.

9P5 Organization and Community Relationships

Upper Iowa University’s commitment to building relationships that will improve the economic vitality of the region is demonstrated in the University’s strategic plan. One of the nine elements of the strategic plan is “enhancing the greater community.” Resources and initiatives have been directed toward supporting this element of the strategic plan.

A gift of \$526,560 by two Board of Trustees members established the endowed Upper Iowa Business Development (UIBD) grant in December of 2007. This endowment supports cash grant awards made annually to start-up, expanding or relocating businesses in the City of Fayette. An advisory committee consisting of community leaders and University personnel selects UIBD grant awardees based on an established set of criteria and provides oversight for the endowment. So far, \$55,000 has been awarded through this fund to support business development and job growth in Fayette. UIU is also working with the City of Fayette on a strategic plan for housing, retail, and downtown improvement, and UIU has purchased two buildings on Main Street to be used for University operations. UIU’s president serves on the Fayette County Economic Development Commission as a voting member and, as such, is able to stay current on local and regional economic issues and opportunities. Likewise, two members of UIU’s faculty/staff currently serve on the city council for the City of Fayette.

As Fayette County’s largest employer, Upper Iowa University has long played the role of economic engine for the region, and has in the past collaborated with area communities on some economic and community initiatives. However, shortly after its admission into AQIP, the AQIP steering committee identified a need to be more proactive in energizing the area economy

and committing resources to bolster the town/gown relationships between UIU and the communities surrounding Fayette. The Community Involvement Committee (CIC) was established with a mission to enhance UIU's reputation among communities located within a 50-mile radius and play a larger role in community economic development, with a particular emphasis on the City of Fayette and communities located along and near the Highway 150 corridor stretching between Oelwein, Fayette County's largest city, and West Union, Fayette County's county seat. The findings of the CIC, made up of UIU personnel representing student services, public relations, athletics and other departments, contributed to the creation of the vice-president for marketing and communication position and the director of external affairs position, both charged with improving UIU's performance in these two areas of emphasis.

One of the first initiatives of the office of external affairs was to hold a summit at UIU's Fayette campus that brought together northeast Iowa community leaders, area economic development organizations, and a range of government agencies to discuss regional strategies for economic growth along Highway 150. Along with representatives from UIU, participants at this summit included mayors from the cities of Oelwein and Fayette, directors of the Oelwein Chamber and Area Development (OCAD) and the Fayette County Economic Development (FCED) commission, and representatives from Upper Explorerland Regional Planning Commission, Iowa Workforce Development, U.S. Department of Agriculture Rural Development, and Northeast Iowa Community College. The ensuing brainstorming and collaboration led to a successful USDA Rural Development grant application, forming the foundation for the University e-Center focusing on regional economic development.

A USDA Rural Community Development Initiative (RCDI) grant of \$139,500 was awarded to UIU to help build the capacity of three rural low-income communities, and the county economic development agency to provide e-commerce and business support to existing microenterprise and start-up businesses. Using this grant funding, and UIU's dollar-for-dollar match, a Highway 150 Corridor website will be constructed to market the business, education and quality of life assets of the region. Funding will also support part of the salary for UIU's e-Center manager, tasked with helping area businesses to utilize e-commerce and improve growth strategies. The e-Center manager will also work with area economic development agencies to attract new business to the corridor, especially in fields and industries that will provide opportunity for UIU students and graduates.

In addition to building relationships with external agencies in order to strengthen the general economic well-being of the community, the University has made great leaps in developing relationships with elected officials. In the spring of 2009, UIU received its first Congressionally-directed funding in the amount of \$238,000 from the U.S. Department of Education Fund for the Improvement of Post-Secondary Education (FIPSE). This funding will be used to support mission elements of the University e-Center, including enhancing student learning institution-wide via technology and equipment improvements and providing additional support to area economic development efforts. This appropriation was made possible by effectively communicating UIU's mission and the goals of the e-Center to elected officials. Upper Iowa University has also hosted legislative receptions in Des Moines during the past three legislative sessions to increase awareness of its mission among state elected officials.

Upper Iowa University is a member of Iowa College Foundation (ICF), an organization of 24 private institutions within the State of Iowa whose mission is to provide students the opportunity for a high-quality education by securing financial resources for member private colleges and universities. Through ICF, member institutions communicate in a unified voice as well as raise funds to support the member schools. Twice yearly development officers from UIU seek funds

on behalf of ICF during fall and spring campaigns. Funds awarded are dispersed benefiting student scholarships as well as other educational needs, such as the funds for libraries at member schools. Iowa College Foundation has been in existence for 57 years. While the relationship between Upper Iowa University and ICF was created long ago, the cultivation and stewardship to maintain and build the relationship continues. For example, President Walker attends annual meetings, the vice president for advancement participates in fall chief advancement officer meeting, and a development officer attends training sessions prior to soliciting funds on behalf of ICF. Conversely, the ICF president served on the UIU search committee for the vice president for advancement in 2008.

9P6 Ensuring Needs Are Met

The principal way UIU ensures that collaborative relationships as described in the sections above are meeting stakeholder's needs is by talking with the partners and listening to them. Continuous communication is vital. Committee memberships and individualized conversations provide ample opportunity for effective interaction with partners.

Some constituents engage in more formal surveys of the needs, wants, attitudes, and satisfaction of partners. For instance, Upper Iowa University's nursing advisory committee includes members from professional organizations. UIU also seeks clinical education agreements and student placements with many health care organizations. UIU's clinical coordinator has individual conversations with these stakeholders regarding student placement and educational opportunities for students. UIU recognizes the need to more formally assess partnership needs.

9P7 Internal Relationships

With the formation of the AQIP steering committee and the president's cabinet, communication across the institution flourished. Both formal and informal action projects were developed to include all internal stakeholders. As these working groups expanded, strategies for starting new initiatives, improving processes and solving problems began to consider the entire institution. Eventually, the importance of this approach was recognized by Strategic Initiative 1: Introduce policies and programs that create the seamless movement of students and faculty. Strategic initiatives are tracked monthly by the president's cabinet to keep focus on these goals and momentum on related projects.

Upper Iowa University recognizes the importance of internal relationships. Cross-functional teams and committees as well as teams made up of a combination of faculty, staff, and/or students are commonplace. UIU's homecoming committee, made up of RU, AE, and IP faculty and staff representatives, as well as students, is one example. The University's Human Resource Services Team is another example of a University committee whose membership includes faculty and staff from the RU, AE and IP. UIU consistently draws upon the synthesis and broad range of experience and knowledge of such diverse working groups to implement new strategies or revitalize old ones.

In addition there are other structures that help build and maintain internal relationships at UIU. Internal newsletters, email, and University publications are examples of methods used to share information institution-wide. (A sample faculty/staff newsletter can be found at http://www.uiu.edu/marcom/monthly_updates/AugustNews_2009.pdf.) Cabinet meeting minutes are posted on the internet on the portal accessible to all UIU employees.

9R1 Measures of Collaborative Relationships

As a byproduct of the informal action project to develop articulation agreements including both residential campus and AE courses, the need to track the success of these articulations was recognized. A report was developed to track the sources of transfer students. It identifies students transferring from current partner institutions as well as identifies potential future partners.

The Upper Iowa Business Development (UIBD) Grant Advisory Committee has established benchmarks and metrics to measure the grant's success in job creation, increasing the City of Fayette's tax base, providing student employment and internship opportunities, and meeting other objectives of the initiative.

The university measures the effectiveness of specific collaborative relationships and partnerships through a variety of means as evidenced by the following table:

Relationship Type	Measures
Feeder institutions & organizations	<ul style="list-style-type: none"> • Number of articulation agreements • Number/percent of transfer students • Number of students enrolling from local high schools • Number/percent of UIU faculty and staff engaged w/ public schools
Receiving institutions, organizations, & employers	<ul style="list-style-type: none"> • Number/percent of UIU students participating in internships/clinicals • Number/percent of students employed x number of months after graduation • Number of businesses/jobs created through UIBD grants
Suppliers of student services	<ul style="list-style-type: none"> • Scores/ratings from student satisfaction surveys
General community	<ul style="list-style-type: none"> • Number of faculty and staff serving on boards of community businesses and agencies • Number of, and total dollar amount of, scholarships awarded by local organizations • Dollars spent annually by UIU with City of Fayette business owners • Number of community service hours performed by UIU employees • Number of community service hours performed by UIU students
Education associations, external agencies, consortia partners	<ul style="list-style-type: none"> • Number of memberships of employees in various UIU departments
Internal to UIU	<ul style="list-style-type: none"> • Number of cross-disciplinary teams & committees

Table 9.1 Relationships and measures.

9R2 Performance Results

Key collaborative relationships with communities continue to grow, both on the Fayette campus and at centers. In 2009, UIU's Team Peacock, a group of faculty, staff, students, alumni, and friends, raised over \$118,000 when they rode RAGBRAI. All monies raised by this annual event are used for student scholarships. The UIBD Grant is in its second year and has received a total of 8 applications. To date UIU has awarded two grants resulting in the addition of two new retail establishments and the first new retail construction in over ten years on Fayette's main street.

Another result of collaborative relationships is the increase in the number of articulation agreements with two-year colleges, as well as the corresponding increase in the number of transfer students. UIU enjoys a steady stream of students from these collaborating educational institutions, and finds those students in general well prepared for UIU curriculum. Currently UIU maintains formal and informal articulation agreements with more than 70 two-year colleges.

In the 2.5 years of the University's RN to BSN program UIU has admitted 88 students; the full time student start-to-graduation time being 13 months. Enrollment continues to exceed goals for the program, providing evidence of the value of a program designed for working nurses.

Upper Iowa University has more than 50 clinical agencies who participate in its educational program by accepting student placements. UIU seeks feedback from the preceptors of these students for each clinical term. The feedback from preceptors regarding the University's program and its students has been overwhelmingly positive.

Specific measures for various collaborative relationships are tracked by the Strategic Initiatives Progress Summary, a document reviewed monthly at the president's cabinet meeting and available on UIU's website.

9R3 Comparisons

As a consequence of participating in AQIP, UIU recognized the need to benchmark performance results and formed a committee designed to identify appropriate institutions on which to base comparisons. Completion of this process is scheduled for early 2010, although an early draft of provisional results is in preparation at the time of writing.

9I1 Recent Improvements

The AQIP steering committee's commitment to developing relationships with education organizations, employers, and community partners guided the selection of questions 9P1, 9P2, and 9P5 to be answered in detail. The informal action project to develop articulations across the University was evaluated through the development of a report to identify the source of transfer students. The analysis of the results of the report show that the vast majority of transfer students come from the community or technical colleges in close proximity to UIU's AE Centers. While this may seem to be an obvious result based simply on location, the report showed the same pattern to be true for online students. The report then became a tool used to prioritize the importance of articulation agreements; it also allows the University to better design its marketing efforts directed at transfer students.

To serve military students, UIU now participates in online portals for the Army, the Navy, and the Air Force. These portals are the only way military students can access Tuition Assistance and enrollment services.

The human resources management major at UIU recently was certified by the Society for Human Resources Management (SHRM) as meeting all SHRM requirements thus allowing UIU students graduating from the program to better meet employer needs in this area.

The creation of the Upper Iowa Business Development (UIBD) grant has propelled economic activity in the City of Fayette and has resulted in collaboration between Fayette business owners and University personnel to improve business practices and enhance e-commerce opportunities. . The grant awarded to UIU in 2007 by the USDA Rural Community Development Initiative has helped make possible the development of an e-Center which, in turn, will provide technical assistance to local communities or non-profit organizations with projects related to housing, community facilities or community and economic development.

In response to UIU's increased community involvement, the Fayette Chamber of Commerce now issues an award annually to "a promising graduating student who has made a contribution to the community of Fayette."

9I2 Culture and Infrastructure: Selection of Targets

The institutional culture at UIU has evolved in significant ways since its acceptance into AQIP, the revision of the mission and vision, and the subsequent development of the strategic plan. The infrastructure has changed considerably with the creation of several new administrative positions, the addition of full time faculty in the AE and IP, the redesign of academic governance, and the formation of committees and teams with membership from across the University. Improvement priorities are defined by the strategic initiatives and implemented using AQIP processes assessed by departments and divisions through goals and objectives tracked at each level of the institution.

**Index to the location of evidence
relating to the Commission's
Criteria for Accreditation
found in Upper Iowa University's
Systems Portfolio**

Criterion One – Mission and Integrity. The organization operates with integrity to ensure the fulfillment of its mission through structures and processes that involve the board, administration, faculty, staff, and students.

Core Component 1a. The organization's mission documents are clear and articulate publicly the organization's commitments.

- Revised mission documents were approved by the Board of Trustees 2007 [OI, 5P1, 8P1]
- The mission is publicly articulated on the university's website [<http://uiu.edu/general/about/vision.html>, http://www.uiu.edu/catalogs/eu/ug_needs.html]
- Further clarification of the university's mission and its strategic commitments is available for public viewing at http://www.uiu.edu/strategic-planning/downloads/Other_Comments.pdf.

Core Component 1b. In its mission documents, the organization recognizes the diversity of its learners, other constituencies, and the greater society it serves.

- Diversity is one of the cornerstones of the university's mission [<http://uiu.edu/general/about/vision.html>]
- Curricular and co-curricular goals are aligned to address the mission and vision expectations [1P16]
- Strategic Initiative One, Seamless Movement, recognizes and seeks to better serve the university's diverse stakeholders [http://uiu.edu/strategic-planning/downloads/UIU_Strategic_Plan_April_08.pdf, page 13]
- Action projects and initiatives focus on the diversity of the university's constituents [1P16, 2I2, 4R3, 9P7]

Core Component 1c. Understanding of and support for the mission pervade the organization.

- General education objectives are tied to the mission [1P1]
- Program goals are being aligned to the mission and the strategic initiatives using an AQIP action project [1P16]
- Employees are oriented to the university mission [4P4]
- Communication regarding the mission and strategic initiatives is open and constant [5P2, 5P8, 8P4]

Core component 1d. The organization's governance and administrative structures promote effective leadership and support collaborative process that enables the organization to fulfill its mission.

- A collaborative, inclusive, public process was utilized to update the universities mission and strategic plan [<http://uiu.edu/strategic-planning/index.html>]
- The strategic initiatives developed from the mission and vision statements are the organizing structure for the university [O5, 5P1, 5P2, 5P8]
- Collaboration across the university is expected and reinforced [5P3, 5P5]

Core component 1e. The organization upholds and protects its integrity.

- The university ensures ethical practices [4P7]
- The strategic plan addressed risk in order to protect the university's integrity [8P7]
- The university protects its integrity by securing data [7P3, 7P7]

Criterion Two – Preparing for the Future. The organization's allocation of resources and its processes for evaluation and planning demonstrate its capacity to fulfill the mission, improve the quality of its education, and respond to future challenges and opportunities.**Core Component 2a. The organization realistically prepares for a future shaped by multiple societal and economic trends.**

- The university engaged in a significant strategic planning process engaging a large, representative group of stakeholders [8P1,8P6,8I1]
- Predictor software is used to develop financial models to anticipate trends in making financial decisions for the university [5P6]
- The process for prioritizing budgeted expenditures is open to the university community [2P2]
- Strategic initiatives performance indicators are reviewed at each level of the organization and used in decision-making [7P2]

Core component 2b. The organization's resource base supports its educational programs and its plans for maintaining and strengthening their quality in the future.

- Academic quality improvement is supported at all levels of the institutional planning process [8P4, 8P6]
- New programs are developed based on research and predictions about future needs [1P3]
- Existing programs are supported based on their ability to meet goals and objectives [2P2,6I1]
- The financial position of the university remains strong in current economic times allowing UIU to move forward with building projects. [5I1, 8P7]

Core component 2c. The organization's ongoing evaluation and assessment processes provide reliable evidence of institutional effectiveness that clearly informs strategies for continuous improvement.

- The institution has transitioned to a data-driven culture collecting evidence to provide the basis for decision-making [5P6, 5R1, 6R1, 7P1]
- Performance is measured and assessed at all levels [7P4]
- Evidence of acquired knowledge and skills is collected, analyzed and used for improvement [1R1,1R2,1R3,1R4]
- Staffing and position requirements are reviewed based on goals and objectives [4P5,8P6]
- Institutional effectiveness for academic and operational matters is tracked and used as the basis for improvement [7I1,7I2,8P7,8R1,8I1]

Core component 2d. All levels of planning align with the organization's mission, thereby enhancing its capacity to fulfill that mission.

- Planning at all levels is aligned with the strategic initiatives and the university's mission [7P2,8P4]
- Position descriptions are aligned with goals and objectives tied to the strategic initiatives and the university mission [4P2]
- Improvements to the strategic process intentionally align all levels of planning [5I1]

- The development of data-driven goals augmented the alignment of measuring effectiveness to the strategic planning process. [7P6, 7I1]

Criterion Three – Student Learning and Effective Teaching. The organization provides evidence of student learning and teaching effectiveness that demonstrates it is fulfilling its educational mission.

Core component 3a. The organization’s goals for student learning outcomes are clearly stated for each educational program and make effective assessment possible.

- UIU has defined a strategy to assess general education learning [1P1]
- Learning objectives are communicated to all stakeholders [1P5, 1P11]
- UIU has defined strategies to assess learning in each program [1P2,1P13]

Core component 3b. The organization values and supports effective teaching.

- Faculty teaching is regularly evaluated across the institution [1P11]
- The university evaluates student learning and provides faculty with feedback on learning measured against defined goals [1R1, 1R2]
- UIU is implementing program assessment strategies which will provide faculty with input on successful teaching methods [1I2]
- UIU’s teaching and learning modalities were assessed, and student needs identified, through a university-wide action project addressing [3P1]

Core component 3c. The organization creates effective learning environments.

- The University offers educational opportunities in multiple modalities [O1, 1P9]
- UIU supports different learning styles and addresses special needs [1P9, 1P10,1P12]
- The University provides academic student services [1P15]
- Learning spaces are being improved [1P12]
- Student learning is being demonstrated [1R1,1R2, 1R3, 1R4, 1R5, 1R6]
- The university has improved its effective learning environments and improved morale [7I1]

Core component 3d. The organization’s learning resources support student learning and effective teaching.

- UIU has a unified governance process to approve curricular changes and to make sure budgetary considerations are approved before changes are implemented [1P3]
- Summer stipends and competitive grants fund faculty efforts for improving teaching and incorporating the use of technology in the classroom [1P13]
- UIU assesses the satisfaction of learners using academic support services [1R5]
- Academic support systems are being addressed with an AQIP action project [1P15]
- The academic governance structure provides feedback to enhance curricular proposals [1I2]
- The Facilities Master Plan improvement project allowed for the design of new classrooms and labs to enhance student learning [8P4]

Criterion Four: Acquisition, Discovery, and Application of Knowledge, The organization promotes a life of learning for its faculty, administration, staff, and students by fostering and supporting inquiry, creativity, practice, and social responsibility in ways consistent with its mission.

Core Component 4a. The organization demonstrates, through the actions of its board, administrators, students, faculty, and staff, that it values a life of learning.

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- The university vision promotes lifelong learning [O introduction]
- Professional development opportunities are provided for faculty, and staff [4P8, 4P9]
- Tuition remission is available to qualified employees [4P9]

Core Component 4b. The organization demonstrates that acquisition of a breadth of knowledge and skills and the exercise of intellectual inquiry are integral to its educational programs.

- Faculty in-services are conducted each year [1P11] and professional development is supported [1P13]
- General education learning objectives demonstrate the value placed on breadth of knowledge [1P1, 1P11, 1P17, 1P18, 1R1, 1R2, 1R4, 8R2]
- Intellectual inquiry is encouraged and financially supported [5P9]

Core Component 4c. The organization assesses the usefulness of its curricula to students who will live and work in a global, diverse, and technological society.

- UIU has developed processes to develop new programs [1P3]
- The assessment office analyzes graduate data to assess the relevance of academic programming [1R4]
- Faculty act as students in order to assess trends and compare curricula [<http://www.uiu.edu/general/news/sep08/Murshed08.html>]

Core component 4d. The organization provides support to ensure that faculty, students, and staff acquire, discover, and apply knowledge responsibly.

- UIU has in place structured hiring procedures so that legal and ethical expectations are met [4P2]
- The Human Subjects committee reviews all university-related research for compliance with UIU human subjects policy [4d]
- FERPA guidelines and confidentiality policies are followed throughout the university [4P5]
- Sexual harassment training is required for every employee [4P5]

Criterion Five: Engagement and Service. As called for by its mission, the organization identifies its constituencies and serves them in ways both value.

Core Component 5a. The organization learns from the constituencies it serves and analyzes its capacity to serve their needs and expectations.

- The University surveys employers of graduates, participates in industry and community groups and hosts advisory committees for input on needs and expectations [2P1, 2R1, 9P6]
- The assessment office surveys alumni and their employers one and three years after graduation regarding the preparation the graduates demonstrate and how the graduates perceive their preparation in the areas of study. Results are shared with all academic units. [1P4]
- UIU participates in national organizations who provide standards on which curricular development is based [1R6]
- An AQIP project helped the university identify changes in student enrollment modality fostering better service for students [7I1]

Core Component 5b. The organization has the capacity and the commitment to engage with its identified constituencies and communities.

- The university is an actively contributing member for the community [2R1, 2R4, 9P5, 9R1]
- The university services corporate partners with academic programming [9P2]

- Technological infrastructure connects the internal stakeholders and supports their efforts [7P7]

Core Component 5c. The organization demonstrates its responsiveness to those constituencies that depend on it for service.

- The university nurtures its relationships with high schools, community colleges and technical colleges [9P1]
- UIU has developed relationships with military branches including the army, navy, air force, coast guard, and National Guard units. [9P2]
- Evaluations by bodies representing the interests of constituents have been successful [1P13]
- UIU has developed programs based on identified needs in the communities it serves [9P3]
- Internal stakeholders are served by a responsive IT department [7R1]

Core Component 5d. Internal and external constituencies value the services the organization provides.

- UIU has received grants and recognition for community service projects [2R1,9P5,9R2]
- Organizations serving the university support it with scholarships [9P3]
- UIU has been named a “military friendly” institution [O9]
- Surveys of employees indicate improvement in some areas of service [4R1]
- Articulations continue to increase indicating the colleges they serve find them valuable [9R2]
- Participation in scholarship building activities continues to increase and provide more support for UIU students [9R2]

Institution: Upper Iowa University Self-Evaluation

Date: 14 Sept. 2009

Item	In-Depth?	SS	S	?	O	OO
IP1			X			
IP2				X		
IP3	X		X			
IP4				X		
IP5	X		X			
IP6	X			X		
IP7				X		
IP8				X		
IP9				X		
IP10				X		
IP11	X		X			
IP12			X			
IP13	X		X			
IP14				X		
IP15	X			X		
IP16	X		X			
IP17			X			
IP18			X			
IR1	X		X			
IR2	X		X			
IR3	X			X		
IR4	X		X			
IR5				X		
IR6	X		X			
II1	X		X			
II2	X		X			
2P1	X		X			
2P2	X			X		
2P3	X			X		
2P4				X		
2P5				X		
2P6					X	
2R1	X		X			
2R2				X		
2R3					X	
2R4				X		
2I1	X			X		
Item	In-Depth?	SS	S	?	O	OO
2I2						X
3P1	X				X	
3P2	X				X	
3P3						X
3P4	X				X	
3P5	X				X	
3P6						X
3R1	X					X
3R2	X					X
3R3	X					X
3R4						X
3R5						X
3R6						X
3I1	X				X	
3I2					X	
4P1						X
4P2	X					X
4P3	X					X
4P4	X				X	
4P5						X
4P6						X
4P7						X
4P8	X				X	
4P9	X					X
4P10						X
4P11						X
4P12						X
4P13						X
4R1	X					X
4R2						X
4R3	X					X
4R4						X
4I1	X					X
4I2						X
5P1						X
5P2	X				X	
5P3						X
Item	In-Depth?	SS	S	?	O	OO
5P4						X

5P5					X	
5P6	X			X		
5P7				X		
5P8	X		X			
5P9	X			X		
5P10				X		
5R1	X			X		
5R2				X		
5R3				X		
5I1	X			X		
5I2				X		
6P1	X		X			
6P2	X		X			
6P3	X		X			
6P4				X		
6P5				X		
6R1				X		
6R2				X		
6R3				X		
6R4				X		
6R5					X	
6I1	X		X			
6I2				X		
7P1	X		X			
7P2	X			X		
7P3				X		
7P4	X		X			
7P5				X		
7P6				X		
7P7	X			X		
7R1				X		
7R2				X		
7R3				X		
7I1	X		X			
7I2				X		
8P1	X		X			
8P2				X		
8P3				X		
Item	In-Depth?	SS	S	?	O	OO

8P4	X				X	
8P5					X	
8P6	X				X	
8P7	X				X	
8P8					X	
8R1					X	
8R2	X			X		
8R3	X			X		
8R4						X
8R5					X	
8I1	X			X		
8I2					X	
9P1	X			X		
9P2	X			X		
9P3					X	
9P4					X	
9P5	X			X		
9P6				X		
9P7				X		
9R1	X			X		
9R2					X	
9R3						X
9I1	X				X	
9I2					X	

SS – A significant or “super” strength, something the institution does so well that it should be the model of *good practice, efficient operation, or effectiveness* for others.

S – An institutional strength – a process that is well designed and operating effectively, a performance result that everyone is proud of, an improvement system that consistently find and implements effective improvements.

? – A system or performance result that people in the institution do not agree represents either a strength or an opportunity for improvement.

O – An opportunity for improvement, an area that everyone agrees can and ought to be done better.

OO – An outstanding improvement opportunity, one that urgently needs attention, either because it represents a opportunity to diminish a significant risk to future effective operations, or because it represents an opportunity to innovate in a way that would significantly strengthen the institution in the future.