



Criterion Two: Preparing for the Future

Chapter Two: Preparing for the Future

The organization’s allocation of resources and its processes for evaluation and planning demonstrate its capacity to fulfill its mission, improve the quality of its education, and respond to future challenges and opportunities.

Overview

“Preparing for the Future” continues the discussion begun in “Mission & Integrity” by detailing the relationships among planning, budgeting, and mission and by documenting Eastern’s progress at addressing mission-driven goals. As the discussion in the previous chapter indicates, Eastern documents its preparation for the future in planning artifacts generated at every organizational level. At the broadest level, planning is directed by the mission statement, which identifies academic excellence—and all that it entails—as Eastern’s primary obligation. Articulating university planning documents assist the institution in identifying the more appropriate means of meeting this obligation. These include the Constitutional Plan, Eastern’s long-term, strategic plan; the President’s Goals, derived from the Constitutional Plan to address the more immediate needs of the institution; the Campus Master Plan, which guides facilities and grounds development; Focus Statements prepared by the vice presidents to translate presidential goals into area-specific action; and Planning Initiatives prepared by units throughout campus to implement vice presidential directives and simultaneously address departmental needs. Outside of this centralized planning process, many units generate their own short- and long-term plans as well. Last, Eastern’s Vision Statement is an expression of the institution’s identity once it has achieved the goals set for it. Although not generated internally, the *Illinois Commitment* developed by the Illinois Board of Higher Education (IBHE) after extensive surveying of citizens’ needs and expectations, is an influential planning document as well, since it is a standard used for evaluating the university’s priorities and achievements and awarding new funds. So is the Focus Statement, developed by the IBHE to distinguish the roles, responsibilities, and service regions of each of the state’s public institutions.

On a day-to-day basis, the President’s Goals—which are consonant with the university’s mission and statewide priorities—guide most of Eastern’s planning and budgeting activities. While the specific objectives for implementing them may change from year to year, these overarching goals remain largely the same:

1. Enhance the quality of academic programs.
2. Achieve equitable faculty/staff compensation.
3. Improve institutional effectiveness and productivity.
4. Heighten the university’s state and national image.
5. Increase public and private funding.
6. Increase access and diversity within the student body, faculty, administration, and staff.
7. Address deferred maintenance and the campus master plan.
8. Enhance technology and equipment.
9. Increase collegiality and a sense of community.

Mission Statement:
<http://www.eiu.edu/~planning/EMission.htm>

Constitutional Plan:
<http://www.eiu.edu/~planning/constpln.htm>

President’s Planning Goals:
<http://www.eiu.edu/~planning/presqsls.htm>

Campus Master Plan:
<http://www.Eastern.edu/~mstrplan/>

Vice Presidential Focus Statements:
<http://www.eiu.edu/~planning/focus.htm>

Illinois Commitment:
<http://www.ibhe.state.il.us/Board/Agendas/1999/February/1999-02-07.pdf>

Vision Statement:
<http://www.eiu.edu/~planning/Vision.htm>



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It is easy to correlate these goals to Eastern's Mission Statement. Goal 1 supports Eastern's commitment to provide a "superior" education. Goals 2 and 6 speak to the university's efforts to recruit and retain faculty who can provide the rich intellectual environment prerequisite to students' development of the habits of "free inquiry," lifelong learning, and respect for diversity. Goals 7, 8, and 9 focus on the institution's role in creating an environment conducive to scholarly achievement and intellectual freedom and cognizant of the worth and dignity of the individuals who compose the university community. Last, Goals 3, 4, and 5 direct Eastern to secure the broad base of support on which the successful achievement of all other goals depends.

The most serious concerns facing Eastern are detailed in this chapter: the decrease in the percentage of faculty who are tenured or tenure track and the decline in the university's state appropriation from general funds. In the context of addressing such concerns, the university also must respond to external forces, including changing technology and demographics and growing demands for accountability. At Eastern, historically limited resources have necessitated innovative practices, particularly in light of the institution's goal to protect the academic enterprise from the impact of statewide budgetary reductions that have grown ever more severe in the past four years. Thus, this chapter will document Eastern's efforts not only to fulfill its mission and to create a culture based on the continuous improvement of programs, services, and efficiency, but to do so despite the state's inability to fund the institution at a level commensurate with all of its needs.

Core Component 2a: The organization realistically prepares for a future shaped by multiple societal and economic trends.

Eastern's planning processes are based on its leaders' cognizance of the institution's capacity to serve fully the students it enrolls. Current enrollment management practices, for example, are based in part on the conclusions of the 2002 "Report on Optimal Enrollment." This report, written by a team of faculty and staff under the auspices of the Enrollment Management Advisory Committee, concluded that the ideal size of the entering freshman class was approximately 1850 students. This conclusion was based on the committee's analysis of Eastern's physical capacity (i.e., the number of available seats, classrooms, and laboratories), its practical capacity (i.e., the number of available faculty and support service providers), and its historical capacity (i.e., the number of students it has served successfully in the past). Because any definition of capacity also must consider the resources available to pay salaries, benefits, utilities, and so on, this report advocated flexibility: The more students the institution enrolls, the more resources it needs; however, because students pay tuition and fees, more students also means more resources. As state appropriated dollars from general revenue continue to decline, this flexibility is vital.

Other institutional goals attest to Eastern's consideration of its capacity to serve constituents, including achieving equitable compensation, improving efficiency, and increasing public and private funding. The university's success at achieving these goals is described in detail in the pages that follow. Other institutional statistics speak to capacity too. Historically, average class sizes and student faculty ratios have been low. In Fall 2003, the average class size was 23; the average student-faculty ratio was 17:1. As was noted in the "Annual Institutional Data Update," the average expenditure per student was \$7002. However, the most significant trend currently facing Eastern threatens to impact its ability to continue to operate at this level of capacity. This trend is the decline in one of the university's major sources of revenue, appropriated funds from state general revenues.

Report on Optimal Enrollment:
<http://www.eiu.edu/~acaffair/NCA/OptimumEnrollment.doc>

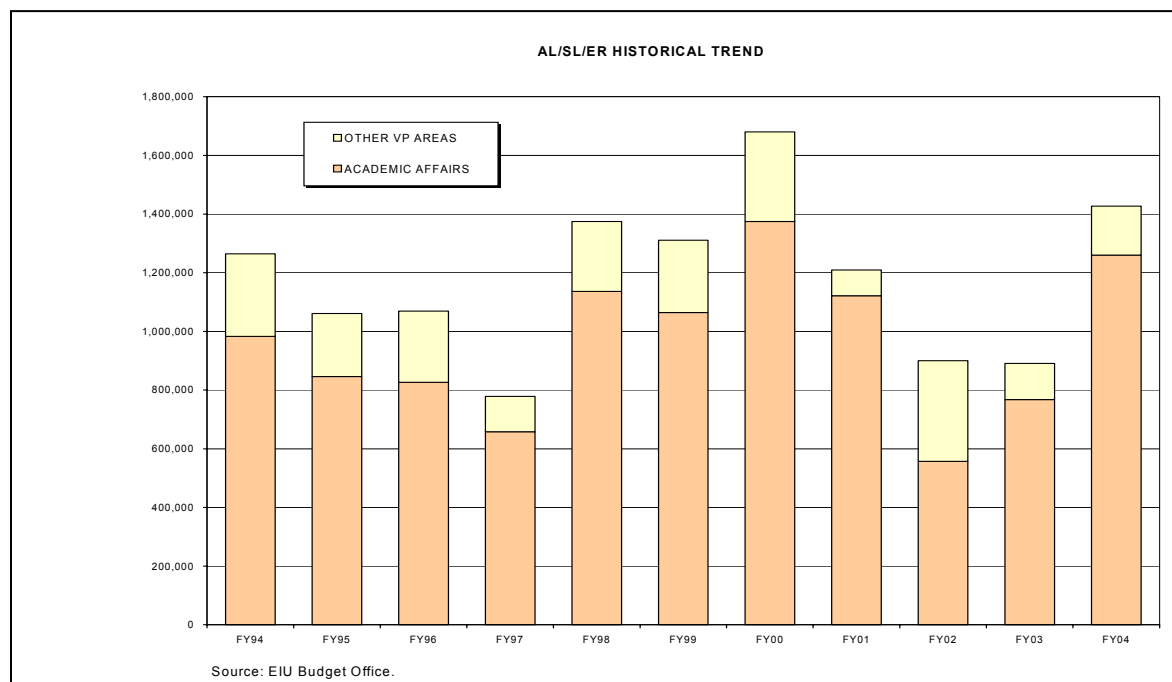


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Declining State Appropriations

In Fiscal Year 2002, Eastern's appropriation was, in effect, reduced as the result of a "charge-back" of \$1.7 million to reimburse the state's office of Central Management Services for a portion of employee health insurance costs previously paid by the State of Illinois. The university offset this loss by holding open vacant positions to collect salary savings, by deferring the purchase of equipment, and by curtailing expenditures on deferred maintenance projects. The reduction of resources made it necessary to increase the workload of remaining non-instructional employees; hampered automation due to obsolete equipment; and caused further deterioration of campus buildings and grounds. Late in FY 2003, the Governor's Office of Management and Budget notified Eastern that it would be required to create a budget reserve to lapse funds back to the state. At that point, the university scrambled to curtail spending in order to comply with the mandate to return nearly 6% (\$1,421,880) of its appropriated budget. As a result of this mandate coming so late in the fiscal year, little could be done to establish priorities and systematically reduce expenditures. Therefore, administrators had to curtail spending across all functions within the university. Only expenditures to which the university was obligated legally were permitted to go forward. In FY 2004, state appropriated general funds were reduced by 8.2%. There also was a 2% rescission or "callback" in the second week of May 2004. As of this writing, the governor is not planning any further reductions in the state appropriation for FY 2005. However, even with flat funding, Eastern's appropriation from general funds will be more than 13% less than it was three years ago.

In this context, state-mandated payouts to retiring employees for accrued leave, sick leave, and early retirements may seem less significant, but they have further eroded budgetary flexibility. As the graph below reveals, the university expended more than \$1.7 million on this obligation in FY 2000. Because of new legislation allowing faculty to receive sick leave payouts a year early, FY 2004 payouts exceeded \$1.4 million.





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To cope with ongoing budgetary cutbacks, Eastern has employed several institution-wide strategies: eliminating vacant positions or leaving them unfilled; reducing operating budgets; conserving energy by, for instance, closing the university at noon on Fridays in the summer; negotiating contracts with trade unions that result in cost consolidations; carefully managing course enrollments to encourage productivity; and implementing master contracts with preferred vendors that reduce costs associated with large purchases (food, copy machines, office supplies, etc.). Still, reductions in appropriated funding impact every unit at Eastern. As the Center for Academic Support and Achievement reports, when its operating budget—like all academic area operating budgets—was cut by 15% in FY 2004, it was forced to eliminate printing and mailings as much as possible, relying on Internet postings and e-mail; to advise staff members to tell students and parents to leave only local numbers or e-mail addresses for return messages in order to cut down on the money spent on long distance calls; to curtail support for advisors to attend conferences and workshops; to cancel a new program for students with disabilities; and to delay filling an administrative position to save personnel dollars. Prior to FY 2001, the College of Sciences maintained a reserve of \$200,000-\$300,000 to support program enhancements, summer research grants, and significant equipment purchases. Rescissions and callbacks have resulted in very small levels of such reserves in all colleges. Across campus, dozens of administrative and civil service positions remain unfilled, creating additional work—but not additional compensation—for remaining non-instructional employees. Staff members in the Textbook Rental Service, for instance, have decreased from eleven to six full-time employees. Another concern is the pressure to replace departing tenured/tenure-track faculty with less expensive annually-contracted faculty. (This issue is discussed in 2b, below.)

Longer-term solutions to Eastern's decreased state appropriation include the already-addressed presidential goals to improve efficiency and increase public and private fund raising. One other strategy is to increase tuition and fees. For many years, Eastern had a reputation for tuition and fee rates that were among the lowest in the state. For that reason, it was reluctant to ask students to offset declining appropriations. Thus, its first step was to revise the way tuition was charged: Rather than paying a set amount for full-time enrollment (the same cost for four, five, or six classes), students began to pay by the credit hour in Fall 2000. While this initiative generated significant new funds, declining state revenues made raising tuition and fees unavoidable. Between FY 1997-FY 2004, undergraduate student tuition and fees increased by an average of 8% each year, while graduate student tuition and fees increased by an average of 5%. For Fall 2004, continuing undergraduate students incurred a 7.5% tuition increase, while new students, including transfer students, saw a 16% increase. However, Public Act 93-0228 ("Truth in Tuition"), which requires Eastern to freeze tuition rates for continuously enrolled students beginning in FY 2005, will limit the institution's ability to increase tuition to moderate the impact of future reductions in its state appropriation.

Technology

Another trend to which the institution is responding is the use of technology in teaching and learning. In response to NCA Self-Study Survey Item 6, 64% students, faculty, civil service personnel, and administrators agreed or strongly agreed that they had seen improvement in the technology available to them during their time at Eastern; almost 82% expressed at least some level of agreement. This recognition is one result of Eastern's long-term goal to "enhance technology," a goal it has addressed in three major ways: by the development of the Center for Academic Technology Support (CATS), by increased cooperation and collaboration among the



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several units responsible for technology at Eastern, and by the network upgrade project completed in August 2004.

The Center for Academic Technology Support provides instructional technology-related professional development, training activities, and informational seminars to Eastern faculty and staff under the umbrella of TECnet, a network of individuals on campus who are working together to help others increase their knowledge and enhance their skills to integrate technology into the academic programs effectively. CATS was the most significant result of the TEDE (Technology-Enhanced and –Delivered Education) initiative inaugurated in FY 2001 when the president charged the academic area to take seriously The *Illinois Commitment* Goal to offer superior yet *accessible* undergraduate and graduate education, and supported this commitment by investing \$500,000 in the TEDE initiative.

Center for
Academic
Technology
Support:
<http://cats.eiu.edu/>

In 2002, CATS focused its energies on developing the human and physical infrastructure needed for its operations. Efforts included hiring a technology coordinator and a graphic designer, and developing the Technology-Integrated Teaching and Learning Environment (TITLE) Room, a campus resource equipped with wireless technology, twenty-four laptops, two data projectors, whiteboard, printer, scanner, and the instructor's presentation station. Since then, CATS has been involved in a number of projects focused on enhancing access to and use of academic technology, including:

- **Assisting faculty, staff, and administrators on nearly one hundred projects each year.** Examples include course enhancements in the use of technology, development of training materials for specific software applications, streaming video content for instructional purposes, development of online surveys for collection of research data, web page design for departments, creation of multimedia presentations, and the formation of web-based resources and other materials for inclusion in WebCT courses.
- **Creating a series of tutorials for WebCT.** The “WebCT Faculty Starter Kit” and the “WebCT Student Starter Kit” are available as online resources on the CATS web site. The goal of the project was to help faculty effectively and efficiently integrate the use of WebCT into academic programs to enhance teaching and learning.
- **Developing the Professional Development Grant (PDG) award program** as part of the new “Technology Enhancement and Management” (TEAM) philosophy (described later in this section) advocated by CATS. Professional development grants provide resources to complete workshops, courses, training or related activities. The funds are intended to help individuals improve their technological skills and knowledge in order to enhance, deliver, and/or support classes and programs through the use of instructional technology.
- **Funding nearly one hundred TEDE grants** for faculty and staff. Support is provided for professional development in the use of instructional technology by faculty and staff. Assistance also is available for initiatives related to development of technology-enhanced courses, technology-delivered courses, and technology-delivered programs.

A complete list of CATS-funded grants is available in the Resource Room.



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Improved inter-departmental cooperation also has contributed to the campus's increased satisfaction with technology. Long gone is the "silo" mentality that resulted in academic units working independently from each other and the information technology area, isolation that duplicated effort, wasted resources, and confused priorities. Key to the collaborative spirit that now exists is the leadership style demonstrated by the administrators overseeing CATS and Information Technology Services (ITS) who have worked together to realize the benefits of sharing ideas and resources, particularly when financial resources are limited. That attitude is enriched by the shared understanding of technology's importance to Eastern's academic mission and the belief that technology leaders must attend to the long-term goals of the institution, not to individual interests and demands.

Academic Technology Advisory Committee

<http://www.eiu.edu/atac/>

Groups that facilitate communication about and collaboration in technology include the Academic Technology Advisory Committee, convened to "provide a university-wide forum for discussion of technology issues and the development of recommendations for strategic direction concerning the use of academic communication, computation, information and instructional technologies"; TECnet (Technology Enhancement in Colleges through Networking, Education, and Training), which offered over one hundred training workshops in FY 2003, with a total of 540 members of the university community attending the numerous skill development sessions; and the Comprehensive Technology Planning Committee (CTPC), assembled in 2003 to share ideas, gather information, and suggest a direction for technology use at Eastern. The CTPC employed an inclusive, information-gathering process which involved conducting numerous assessments of the current situation, identifying the challenges facing the university's technology infrastructure, considering suggestions and possible solutions, and recognizing opportunities for change. By February 2004, the group had crafted a preliminary series of well-considered goals and action-oriented objectives recommending such actions as developing an on-going technology plan which addresses the needs of all university constituents; using technology to support accessibility to instruction for all learners; establishing a process for standardizing technology hardware and software on campus to promote compatibility, ease of use, and support; providing and maintaining technology that will ensure maximum efficiency of academic and administrative processes for staff, faculty, and students; using available technologies to support communication among university constituencies; providing secure and reliable service for the use of technology; and providing consistent, cost-effective technology support to meet the needs of changing constituents and emerging technologies.

The full report is available in the Resource Room. It was accepted by the President's Council in Summer 2004.

These groups have collaborated on projects such as:

- **The Eastern Events Calendar** (formerly the Campus Technology Calendar). Faculty and staff now have online access to a daily schedule of professional development activities. In addition to a searchable database, the calendar provides the viewer with daily, weekly, and monthly schedules of workshops, courses, and presentations on a variety of topics including Composer, Excel, Fireworks, HTML, PowerPoint, and WebCT.
- **The annual "Technology Day."** The goal of this event, first held in Fall 2003, is to celebrate and recognize the efforts of many individuals, groups, programs, departments,

Eastern Events Calendar:

<http://www.eiu.edu/%7Eeiuevent/main.php>



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and organizations who are contributors to shaping the technology vision and reality of the campus. The spotlight for the celebration focuses on the faculty members who are being recognized for their “Excellence in the Use of Technology.” Faculty members are recognized from each of the colleges at Eastern because their efforts in using technology have proven to be beneficial not only to students in their programs of study but also for achieving the goals and academic mission of Eastern.

- **The testing and implementation of technology-related solutions that improve efficiency.** CATS currently is working with all lab managers to standardize computers so that users immediately know where to look for the applications they use. TecNet is examining KeyServer, a software license management tool that allows for the centralization of common software, eliminating the need for all computers/users to have individual copies. The group also was instrumental in the university’s decision to purchase Citrix, an application server and software services package which enhances application and data access over networks and the Internet, enabling high-speed performance on any device, no matter how old. This centralized application management approach to software distribution allows delivery of productivity and instructional software across any platform to any device on or off campus.

Another example of technology collaboration is particularly telling. CATS facilitated open information and communication sessions in Fall 2002 to discuss the TEDE grant guidelines and application process. As a result of those sessions, the name and the focus of TEDE changed to "TEAM: Technology Enhancement and Management" to reflect the new spirit of collaboration and teamwork within the academic units and across the campus. TEAM is the CATS approach for advocating collaboration and teamwork with different academic and service units on campus. Support is provided for professional development in the use of instructional technology by faculty and staff. Assistance also is available for initiatives related to the development of technology enhanced courses, technology-delivered courses, and technology-delivered programs. The overall purpose of the TEAM Grants is to help meet departmental and college technology priorities.

One final source of improved satisfaction with Eastern’s technology stems from ongoing efforts to upgrade the campus network to provide increased network reliability and speed as well as more flexible service. The Division of Business Affairs identified the new “cyber-plant” as its highest priority for the next decade. In addition to housing data, this plant has the potential to host the university’s voice/phone and video services. Thus, its integrity, reliability and efficiency become just as important to the operation of the university as plumbing and electricity. With state financing for such new initiatives unavailable, Eastern’s Business Affairs Division forged ahead and initiated a bond-issue and embarked on a massive overhaul of the data infrastructure. The infrastructure overhaul is expected to consume all of the \$6 million raised through the bond issue. The complete replacement of the campus data infrastructure will allow the next generation of data communications technologies (including voice and video) to be transported at multi-gigabit speeds. Even more importantly, it will ensure uninterrupted service to faculty, staff, and students who rely on e-mail and an Internet connection to do their work.

Business Affairs also recognized that a new “enterprise computing” base was necessary to replace older mainframe flat-file, batch-based technologies which currently support business and

**Network
Infrastructure
Upgrade Project:**
<http://cats.eiu.edu/ctpc/networkproject/index.cfm>



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academic support systems. A new base enterprise computing infrastructure would rely on a centralized relational database system and be directly available on-line to students, staff, faculty advisers, and for executive reporting, twenty-four hours a day. Therefore, Business Affairs took the initiative to negotiate with Systems & Computer Technology Corporation (SCT) for an extended contract which would allow for an organized conversion from various home-grown subsystems (Financial Records System, Student Records System, etc.) to SCT's Banner solution. Business Affairs is collaborating with Academic Affairs and Student Affairs to plan the full conversion to Banner over the next five years.

Such improvements are important, and not only in terms of their support of teaching and learning. Prospective and continuing students expect technology at their university to be at least as good as it was in their high school; prospective and continuing faculty and staff expect it to be at least as good as it is at home. Excellent technology thus is as integral to student, faculty, and staff recruitment and retention as it is to Eastern's primary mission.

Innovative Efficiencies

Because of its limited resources, Eastern's preparations for the future also have entailed a focus on improving productivity and efficiency. While this is one of the goals of the *Illinois Commitment*, the statewide planning document, Eastern's long history as an under-funded institution forced it to undertake efficiency improvements many years before the state mandated it to. As a result, Eastern has created a culture that expects units to find innovative ways to support priorities and maintain or improve quality with very limited resources. As the state economy, like Eastern's appropriation, fails to improve for the fourth year in a row, the institution must continue to seek creative ways of fulfilling its mission. Listed below are several examples of past efforts to address the presidential goal to improve institutional effectiveness and productivity:

- **Energy Conservation:** In 1994, Governor Jim Edgar introduced a program called Governor's Pilot Energy Conservation Initiative. This program linked facility energy efficiency improvement opportunities with performance contracting in State facilities. Under this pilot program, Eastern was selected to represent the state's higher education institutions. With this concept, an energy services company (ESCO) performs an investment-grade energy audit of the facility, then designs and installs energy conservation measures (ECMs) which meet required energy savings/payback criteria. The performance of the selected ECMs are guaranteed by the ESCo to save sufficient utilities dollars over the ten-year life of the performance contract agreement to pay back the original project installation costs, including debt service. Through EIU's participation in performance contracting, three successful ESCo projects have resulted in energy efficiency improvements and infrastructure upgrades amounting to \$16.7 million. Of this amount, reductions in deferred maintenance are estimated at \$13.2 million. In December 2003, EIU was distinguished in a report to the 93rd Illinois General Assembly as having the lowest utilities cost per square foot among all Illinois' public universities.
- **Enhanced student research:** Using only reallocated dollars, the College of Sciences implemented a model to raise the profile of undergraduate and graduate research at Eastern: Science Fest is an annual event at which students and their faculty mentors showcase their research projects; approximately ten undergraduate and ten graduate students receive special recognition, including a stipend. What is now referred to as "The Legislative Showcase," an



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annual presentation of student scholarly activities in the State Capital, was initially a College of Science's project designed to enlarge legislators' understanding of Eastern's mission.

- **Expanded graduate assistantships:** As the result of a Graduate School plan to refocus existing graduate assistantship funds on the university's teaching mission and to secure external funds to enlarge the number of assistantships available, Eastern eliminated allocations for twenty non-academic assistantships and created three new assistantship programs. Thirty new graduate assistantships have been created since 1995 through an initiative that secures externally-funded assistantships from area agencies, businesses, and industries. Presidential Assistantships also were created: Funded by the Foundation, these eighteen awards directly support the university's teaching mission. Last, Summer Research Assistantships were developed: Each year, approximately fifteen awards are funded via internal reallocation to support Eastern's research mission.
- **Unit mergers:** Since 1995, several mergers have reduced administrative costs in Academic Affairs and Business Affairs. In addition, the consolidation of Zoology and Botany resulted in operating efficiencies and an integrated curriculum reflective of current trends in the larger "Biological Sciences" discipline; all savings were held in the consolidated unit to apply to planning priorities, particularly equipment purchases. The four departments in the School of Business also were merged into one unit, reducing administrative positions from four to two. Likewise, the department of Human Resource's Employment and Examination units were combined, allowing for cross-training that provided better customer service to the public and campus community. The University Print Center also was eliminated, its printing operations consolidated within an expanded copy center at the Student Union, Copy Express. Other production and on-line-related printing was transferred to new laser printing facilities operated by the university's Information Technology Services Department Operations Center. Similarly, Eastern's complete food operation, including the Food Court and Catering, was combined with the Residence Hall Food Operation.
- **Reallocated appropriated funding:** Because the Radio-TV Center has avenues of external funding that are not open to most units on campus, it voluntarily developed a plan to return about 75% of its appropriated funding to the university over a three-year period. Not only does the unit anticipate that there will be no negative impact from these reductions, but student services already have been expanded during the first year of the plan.
- **Simplified summer school calendar:** Previously, Eastern offered summer courses in four different sessions. However, neither the 4-week-1 nor the 4-week-2 session proved as popular or successful as the Intersession, and limited course offerings spread across four different sessions also made it more difficult for students to find alternative courses when a course was cancelled for low enrollment. This structure also allowed only limited facilities "downtime," necessary so that deferred maintenance and technology infrastructure needs may be addressed. For all of these reasons, campus governance groups recently approved the reconfiguration of Eastern's summer school. Effective Summer 2005, it will comprise three sessions, including a flexible eight-week session intended to address unique programmatic needs.



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- **Shared spaces:** University Housing and Dining routinely provides classroom space to the Academic Area, saving it hundreds of thousands of dollars. For instance, the unit remodeled five areas into classroom space where the University Foundations class is taught. It also provides temporary space to house academic units displaced by remodeling projects, including the Women's Resource Center, the Athletic Academic Assistance Center, and several art classes and faculty offices. The unit also has accepted reduced value for facilities turned over to academic areas for critical space expansion needs. Examples include the small residence hall which now houses the Center for Academic Support and Achievement and a residential dining center that was converted to a computer lab.
- **Recycling program:** Eastern's recycling program was established in 1992 to address a state mandate that required all Illinois universities to reduce their waste stream 40% by the year 2000. Not only has the voluntary recycling program helped to meet this goal, but it also created a more environmentally responsible campus, provided student employment opportunities, and enabled the university to participate in a joint project with a local school district's training program, providing real work experiences for students who are developmentally disabled. The collection and processing of recycled paper and cardboard has increased from two hundred tons to nearly three hundred tons annually, growth due partly to a grant that provided the funding for "desksider" recycling baskets. The Textbook Rental Service contributes significantly to this program, having recycled in excess of 700,000 pounds of discarded textbooks. Eastern's recycling program continues to win awards from such entities as the National Recycling Coalition and the United States Environmental Protection Agency.
- **Textbook Rental Service:** Attention to efficiency helps to ensure that the cost of attending Eastern remains competitive. In addition to reasonable tuition and fees and room and board rates, the Textbook Rental Service (TRS) saves Eastern students hundreds of dollars every year: The national average expenditure for college-level textbooks is approaching \$1000. In contrast, a full-time Eastern student spends \$239 on textbooks each year. Historically, Eastern Illinois University's Textbook Rental Service has been a significant recruitment tool. It is one of only forty-nine (49) schools nationwide and in Canada that provide the benefit of rental versus purchase of textbooks. Of those schools, many are two-year institutions that offer a limited curriculum. Students and their parents repeatedly cite the TRS as a reason for their selection of Eastern Illinois University.
- **In-house training:** The Campus Police Department now does its training in-house, saving a great deal of money and providing better training and more frequent updates. Some of this training is computer-based, allowing officers to train at flexible times that do not interrupt their duties.
- **Uninterrupted library service:** To accommodate the renovation schedule for the complete makeover of Booth Library, five branch libraries were established on and off campus in Summer 1999 and used for thirty-one months while the construction took place. The library did not close once during this period, even though it had to move collections and service desks twice in the process.



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- **Cooperative library services:** Booth Library's involvement with other academic libraries in the state has increased dramatically over the past decade, enhancing service and increasing efficiency. Long a leader in cooperative library service, the Illinois Library Computer System Organization (ILCSO) increased its span from forty-five institutions to sixty during this period. Additionally, the Illinois Digital Academic Library (IDAL) has been established to use state funds to provide electronic full-text and specialized databases to all 155 academic libraries in Illinois. ILLINET Online is now a web-based product using the Endeavor Voyager software and contains more than sixteen million items readily available via daily delivery service.
- **Panther Access to Web Services (PAWS):** PAWS is an online information resource for all students. Via a common web browser, PAWS allows students to view secure information about their status at Eastern. Through PAWS they can register for classes; view schedules, grades, transcript evaluations, degree audits, and financial aid awards; and obtain information about WebCT. This service has reduced paperwork, foot traffic, and phone calls in the Records, Registration, and Financial Aid offices.
- **Summer hours:** In 2003, Eastern began closing at noon on Fridays as a means of conserving energy. Beginning in May and continuing through mid-August, air conditioning and, in some cases, electrical power, are turned off. Building/office exceptions include Booth Library, University Police, and the Office of Admissions, which work regular hours.
- **Technology that improves business processes:**
 - ✓ **e~Print**, a web-based report distribution system with security that mirrors the university's Financial Records System accounting software, has increased the speed and security of report distribution. Also, significant savings have accrued in paper costs and staff hours formerly dedicated to the report distribution process;
 - ✓ **the Purchasing Card (P-Card)** has enhanced the university's procurement processes by improving efficiency in purchasing low dollar goods and services by directly giving departments buying power;
 - ✓ **the Procurement Bulletin** went on-line, improving the formal bidding process, greatly increasing the vendor base, and saving substantial publishing and printing costs;
 - ✓ **SCT's Financial Records System (FRS)** replaced the aging in-house financial package and is now at the core of all financial transaction processing at the university. FRS has provided university financial officers enhanced capabilities for financial management and a paperless method of requisitioning supplies and equipment via the purchasing module. System users are able to view and analyze specific financial information, including property and equipment records, in real time;
 - ✓ **the Cashnet cashiering system** expanded student payment options by allowing students to pay on-line or by telephone. It also allows for cashier processing when



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the mainframe computer is unavailable and permits entry of departmental deposits which are recorded, via FRS, with more detailed information, allowing better analysis of line item transactions;

- ✓ **Windstar's Tax Navigator** is a patented software program used to analyze non-resident alien tax compliance and tax treaty issues. The Navigator "analyzes" complex legal issues and requirements from competing Federal agencies such as U.S. Citizenship and Immigration Services, the Internal Revenue Service and the Social Security Administration to perform case-by-case analyses of payments (from Payroll to payments to independent contractors and scholarship recipients); determines tax treaty status for withholding purposes; prepares all required withholding certificates, including the IRS 8233 and W-8BEN; and prepares IRS form 1042S for year-end tax compliance as required by the IRS; and

- ✓ **Electronic Funds Transfer (EFT)** has been implemented and is mandatory for all new employees.

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

Introduction to the Budget Planning Process

Each year, requests for new and continued funding are aggregated in three distinct areas: Operating, Program Priorities Budget Requests (PPRs), and Capital Requests. The Operating Request itemizes needs for salaries, utilities, library materials, and general cost increases. Program Priorities Budget Requests are based on planning initiatives submitted by units in all four vice presidential areas and approved by deans/directors and vice presidents. Recent examples of PPRs include requests for funding to increase the number of Special Education teachers in the state, to aid the recruitment and retention of minority students, to hire a substance abuse counselor, and to purchase SCT Banner student information software. Requests that move forward must address institutional and statewide goals, as 2b's discussion of the initiative to improve salaries illustrates. Capital Projects are sorted into three categories according to their cost and significance: Deferred Maintenance Projects--painting, window replacement, tuck-pointing, and so on—maintain facilities, preventing their physical deterioration; Capital Renewal Projects cost up to \$1 million and include projects such as replacing chillers and electrical systems; last, Regular Capital Projects attend to the most significant projects, such as the Fine Arts Center renovation.

While the amount of increase requested in every budget area reflects needs identified during the annual planning process, it is tempered by an appraisal of the state's fiscal health and projections as to how much it is realistic to request. It is understood that many needs will go unmet; in any given year, the difference between Eastern's total budget request and its actual allocation may be several million dollars.

The official budget request documents are submitted to the Illinois Board of Higher Education as part of the Resource Allocation and Management Program (RAMP). Those that survive review



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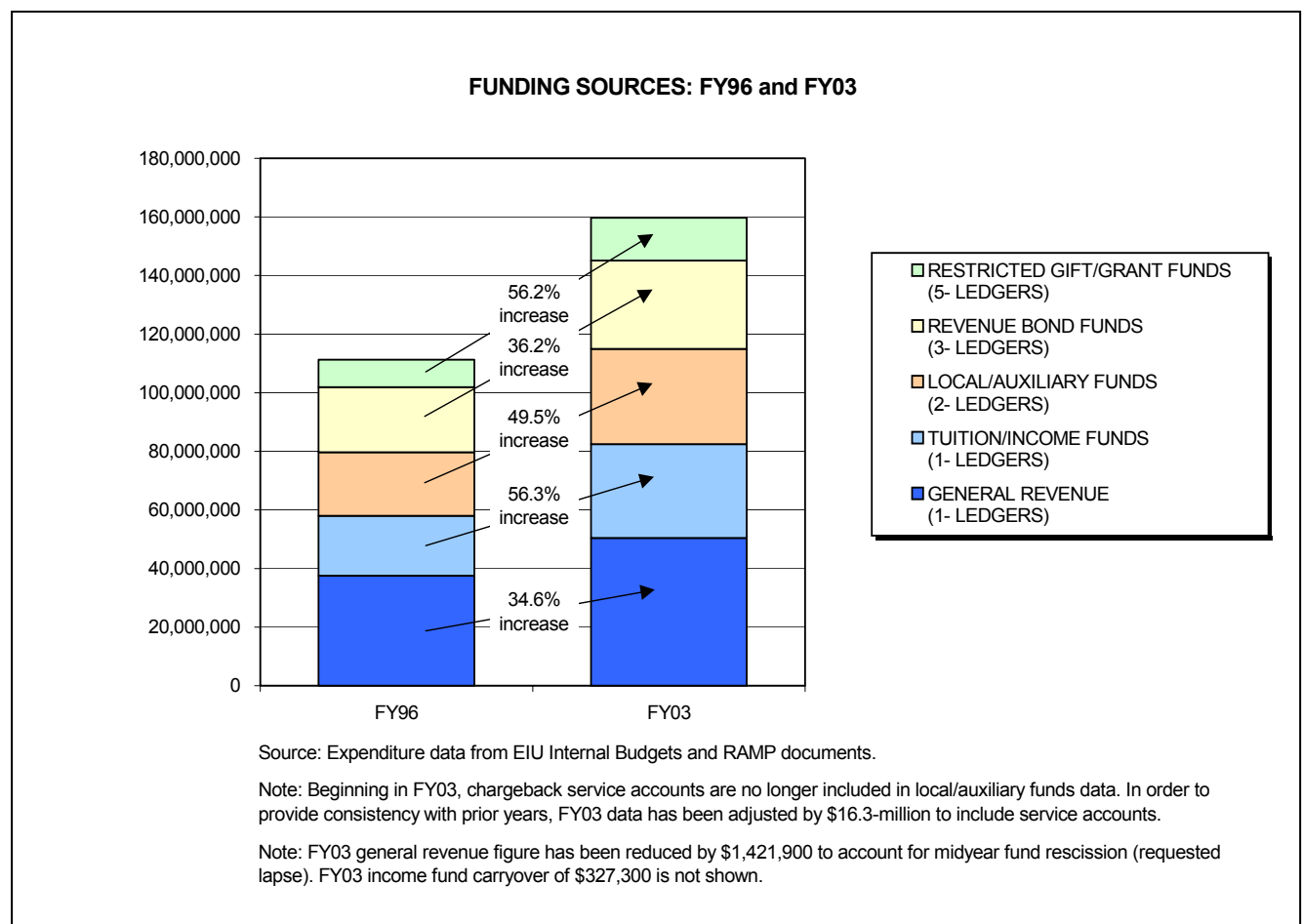
by the IBHE, the legislature, and the governor are funded *if* the state has the resources to do so. Funds allocated to the university are then decentralized to the vice presidents, deans, directors, chairpersons, and so on. The “Planning & Budget Cycle” documents available at the Planning and Institutional Studies web site and in Appendix C-2 depict the request, approval, and allocation process. The University Process Guide provides departments and units with direction on how to manage funds once they have been allocated.

Planning & Institutional Studies:
<http://www.eiu.edu/~planning/>

University Process Guide:
<http://www.eiu.edu/~bpguide/index.htm>

The Budget

Eastern’s budget comprises appropriated funds—i.e., those provided by the state of Illinois from tax dollars and lottery earnings (General Revenue Funds) and those derived from tuition and fees (Tuition Income)—and non-appropriated funds, those derived from room and board payments, investment earnings, gifts, grants, and so on. The chart below depicts these funding sources, highlighting their relative importance to Eastern’s resource base. In FY 2003, Eastern’s total budget was just under \$158 million, an increase of about 12% over FY 2002: Substantial growth in tuition income (56.3%), fees or “local funds” (49.5%), and grants (56.2%) accounted for this apparent overall growth. However, it also obscures the more than \$7 million reduction in general funds that began in FY 2002.

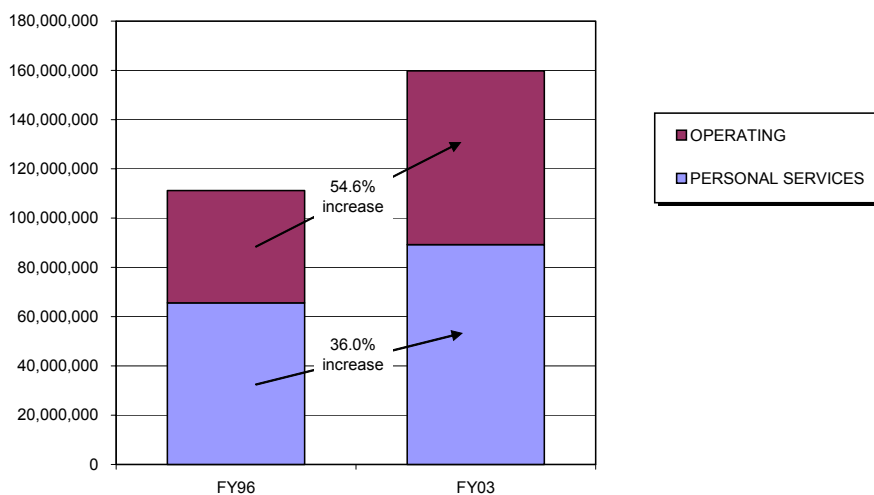




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An examination of university expenditures from appropriated funds from FY 1996 to FY 2003 reveals an increase in operating expenditures relative to those for personal services. (See “All Funds Expenditures,” below.) This growth is due largely to increases in these fixed cost areas: group health insurance, deferred maintenance (which grew from \$150,000 to \$1.5 million since FY 1996), insurance, computer support, and library books and materials. As a result, Eastern’s operating expenditures have grown by nearly 70% in the last eight years, from \$10.8 million to \$18.3 million. The most significant change is the additional \$1.7 million burden the state imposed on the university in FY 2002 for group health insurance.

ALL-FUNDS EXPENDITURES: FY96 and FY03



Source: Expenditure data from EIU Internal Budgets and RAMP documents.

Note: Beginning in FY03, chargeback service accounts are no longer included in local/auxiliary funds data. In order to provide consistency with prior years, FY03 data has been adjusted by \$4.9-million in personal services and \$11.4-million in non-personal services to include service accounts.

Salaries and Fringe Benefits at Illinois Colleges and Universities:

<http://www.ibhe.state.il.us/Board/Agendas/2003/October/Item%2011-2.pdf>

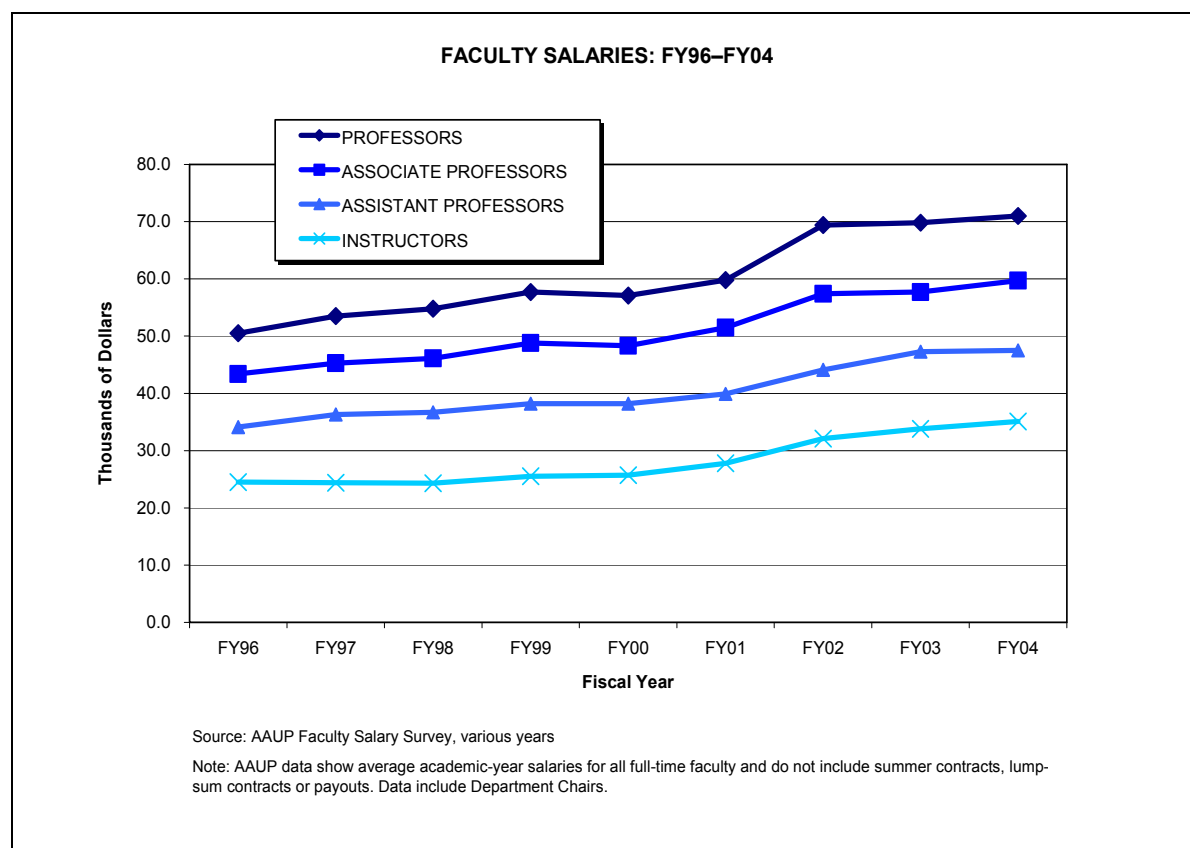
Addressing Institutional Needs

Even though its resources are limited, the university understands that there is a correlation between improving faculty salaries and improving academic excellence: Equitable compensation allows the university to recruit and retain highly qualified faculty who, in turn, are excellent teachers capable of cultivating lifelong learners. Consequently, Eastern has worked diligently to improve faculty salaries. The university has demonstrated this commitment by repeatedly requesting significant salary increases from the state—for whom improving compensation was a priority between FY 1999 and FY 2002—and by augmenting new allocations with internal reallocations. As the graph of tenured/tenure-track salaries, below, shows, faculty salaries have increased significantly, such that by FY 2003, the average all-ranks faculty salary at Eastern was \$54,600. Eastern was one of only four Illinois public institutions whose faculty salaries increased at rates faster than the median increase awarded by institutions in their peer group between FY



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2001 and FY 2003. Between FY 1996 and FY 2004, faculty salaries increased 38-43%, depending on rank.

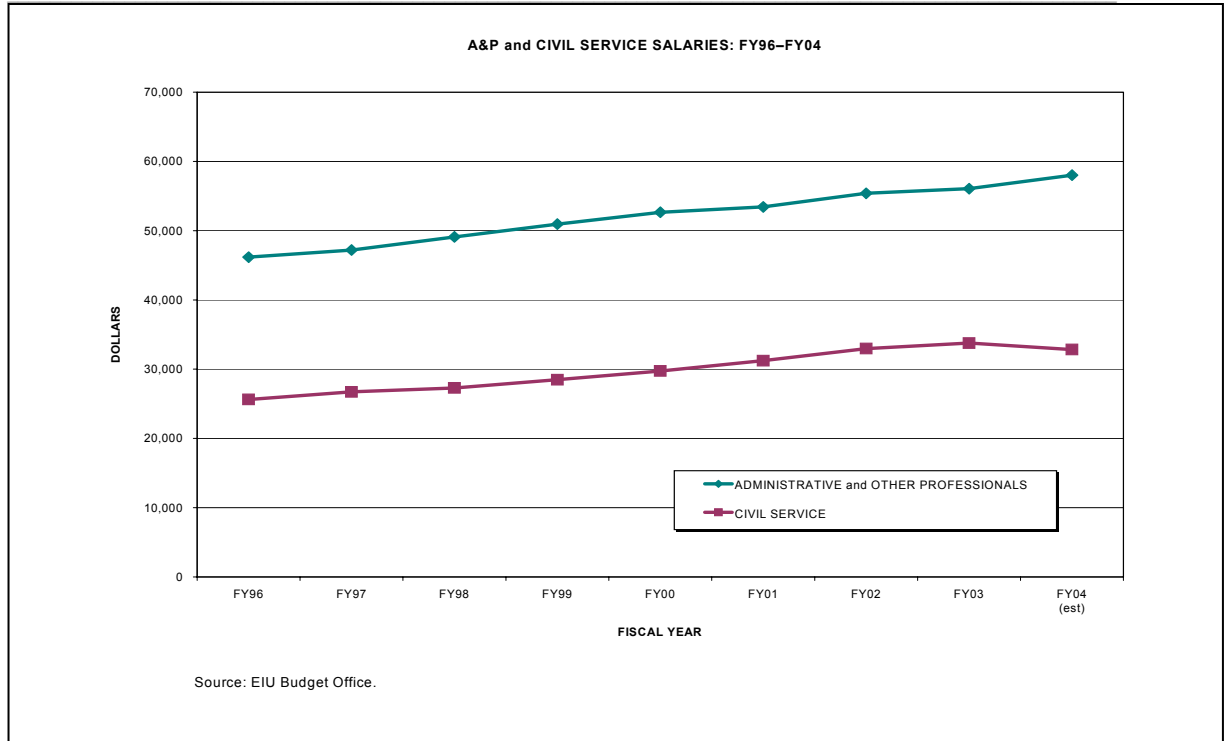


Collective bargaining also has allowed Eastern's labor unions and administration to work together to diminish salary inequities for bargaining unit and non-bargaining unit civil service employees, and progress has been made with administrative salaries as well. As the chart below illustrates, between FY 1996 and FY 2004, civil service salaries increased by 28% (from an average of \$25,624 to \$32,839) and administrative salaries by 26% (from an average of \$46,185 to \$58,020).

However, declining state appropriations threaten to short circuit these improvements. It is crucial that Eastern find ways to continue to improve faculty and staff salaries incrementally, for if it allows salaries to stagnate—as it did in the 80s and early 90s—the resulting gaps will be difficult to close. For all university employees, providing equitable compensation is one way of acknowledging a job well done.



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That Eastern’s resource base generally is sufficient to meet student needs also is supported by the university’s maintenance of reasonably small class sizes (an average of twenty-three students per section) and responsible time-to-degree (4.5 years, on average). As the state economy began to decline, however, serving the same number of students with reduced appropriations resulted in the university replacing more and more of its retiring or departing tenured and tenure-track faculty with lower-compensated annually-contracted faculty. This trend is discussed later in this chapter. Last, the Dean of the Graduate School has worked through the centralized planning process to secure funds to increase graduate assistantship stipends as well, from \$530 per month—the level at which they’d languished for nine years—to \$720 per month or higher.

Eastern’s most recent financial audit provides another indicator of its current financial condition. Independent auditors certified that the university’s current assets of approximately \$32.4 million for June 30, 2003 were sufficient to cover the liabilities of approximately \$20.3 million. The ratio of current assets to current liabilities was \$1.60 in assets for every \$1 in liabilities, another indication of Eastern’s fiscal integrity.

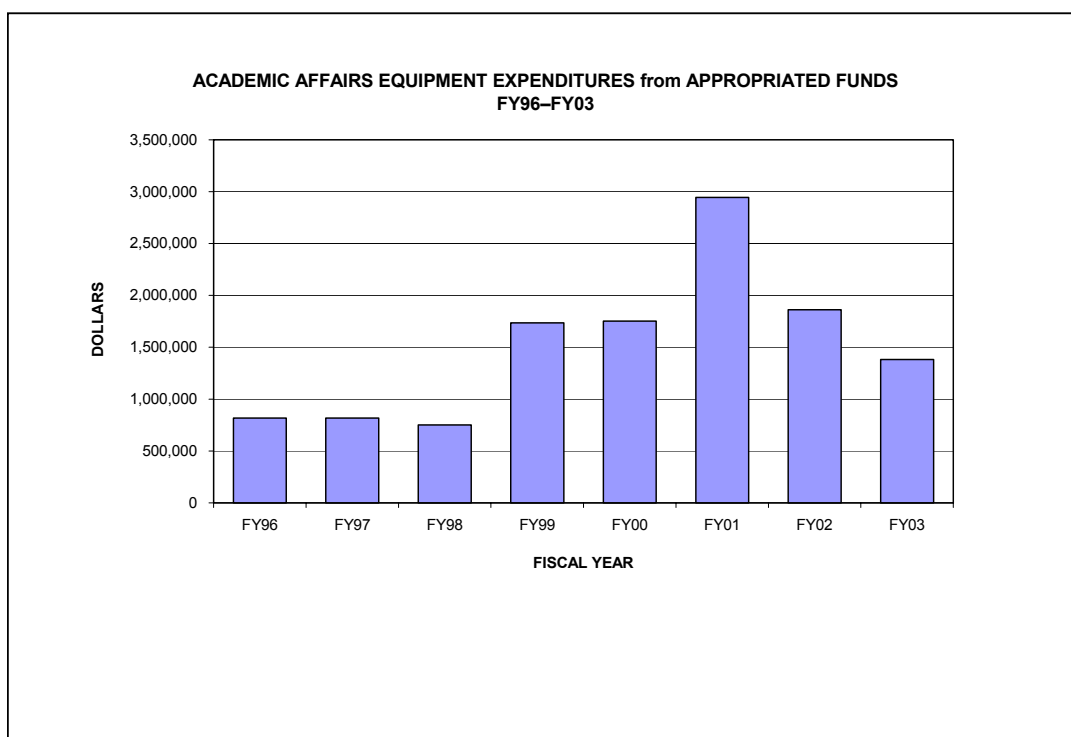
Improvements to faculty salaries, discussed above, and reductions to deferred maintenance, described below, illustrate Eastern’s commitment to supporting and strengthening the education it provides. So do its efforts to improve the allocation of instructional equipment. In the report of its visit to Eastern in 1995, the NCA Team identified institutional equipment as a “critical need” in Academic Affairs generally but also in the Financial Aid Office. Reviewers recommended that the university reallocate resources and develop equipment replacement plans to begin ameliorating the problem. As the “Academic Affairs Equipment Expenditures” chart, below, shows, the area has made substantial progress, increasing equipment expenditures from



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\$817,000 to nearly \$3 million by FY 2001 through a combination of reallocation and a 15% operating budget increase provided from new state funds, efforts tied to President's Goal Eight, "Enhance technology and equipment." Financial Aid is one of many units that benefited from this increase, which allowed it to upgrade computer equipment on a regular basis and to implement two significant changes: an automated Financial Aid Processing system, which enables it to process students' financial aid in a timely manner; and an electronic data imaging system, which will allow it to become a "paperless" office. In addition to decreasing the chance that documents will be lost, the imaging system allows immediate access to documents. Such improvements ensure that the Office of Financial Aid is able to serve students as accurately and efficiently as possible.

Decreases in state-appropriated funds subsequently stalled this upward trend in equipment expenditures, since these funds had to be directed to other financial obligations. However, Academic Affairs' equipment expenditures for FY 2003 and beyond were nonetheless significantly higher than they were at the time of the last self-study.

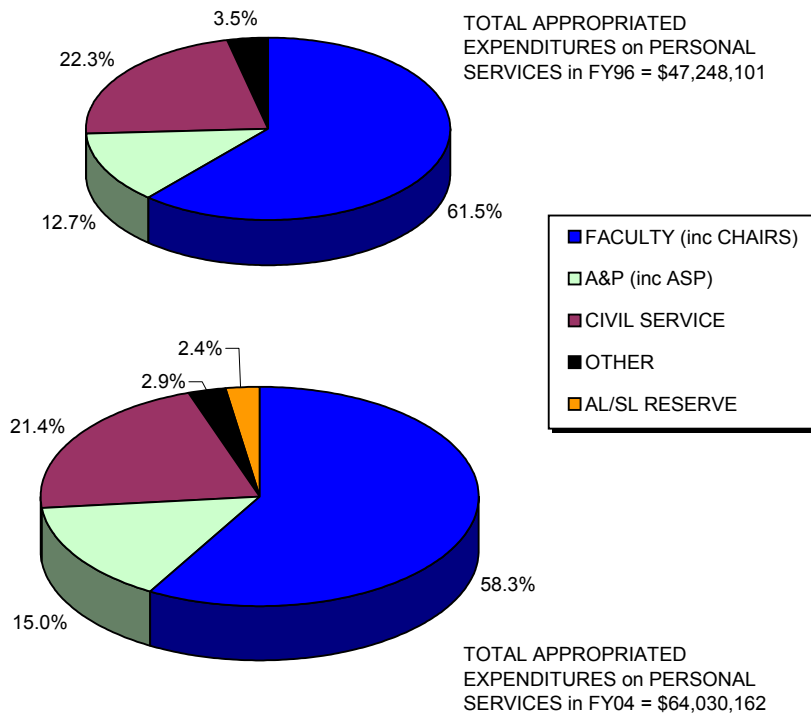


“University Expenditures on Personal Services” (below) demonstrates how Eastern’s personal services budget—which increased by nearly \$17 million between FY 1996 and FY 2003—is allocated. More than half of all personal services expenditures are directed at faculty positions. Civil service positions represent the next largest group, followed by administrative and professional, department chairpersons, graduate assistants, and student help.



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UNIVERSITY EXPENDITURES on PERSONAL SERVICES from APPROPRIATED FUNDS: FY96 and FY04



Source: Expenditure data from EIU Personnel Expenditures Summary & Obligations (PESO) reports and EIU Internal Budgets

Note: For FY03 and subsequent years, the University has established a reserve account to use for the accrued leave and sick leave (AL/SL) payouts of employees who resign or retire.

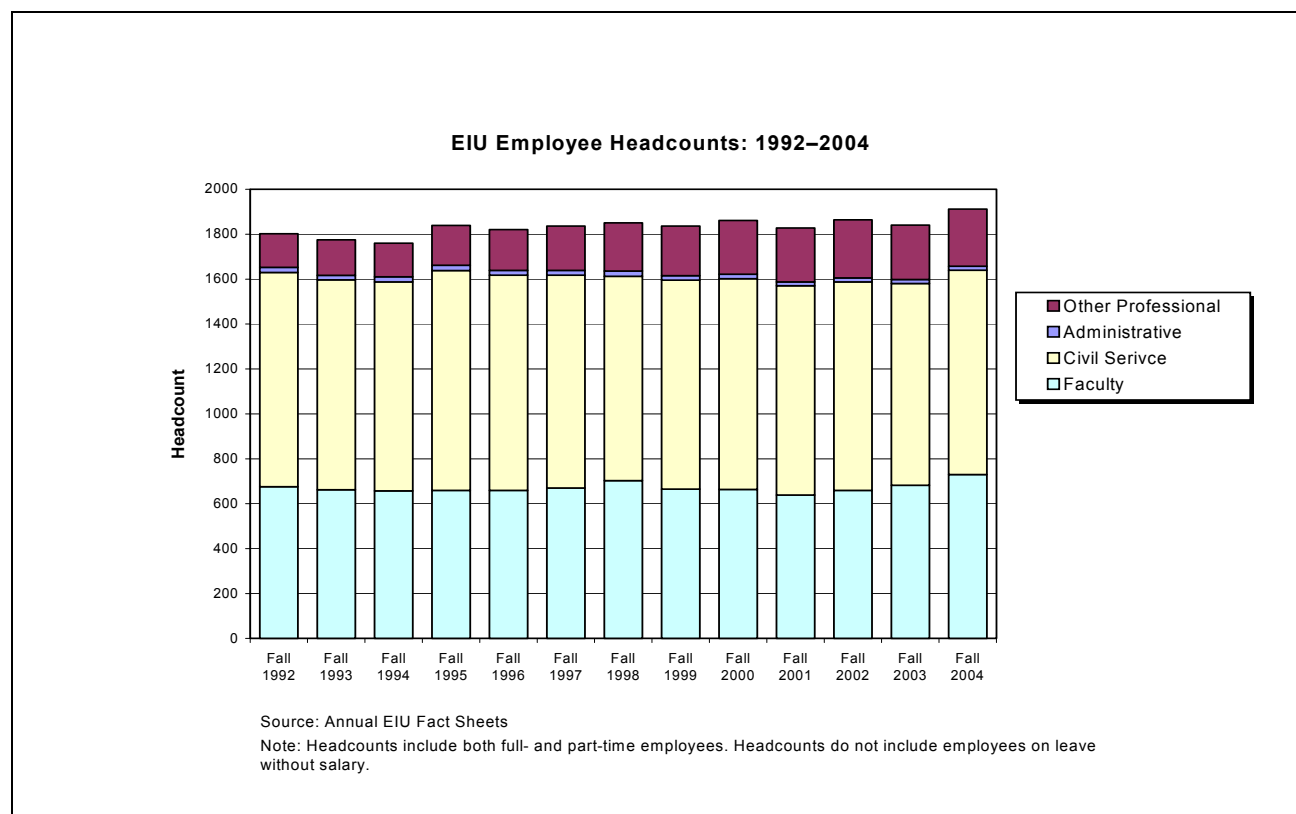
Note: Data include all personal services payments, including summer contracts, lump-sum contracts and accrued leave and sick leave (AL/SL) payouts.

Note: "Other" category includes compensation for graduate assistants, student help and overtime.



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As the “Employee Headcounts” chart (below) shows, little overall growth in employment has occurred. In FY 1996, Eastern employed 1839 individuals; in FY 2003, it employed 1841. The apparent increase in administrative and professional positions depicted in the chart is due to Eastern’s absorbing functions (for example, the Legal Counsel) previously performed by the former Board of Governors, which was dissolved January 1, 1996; to the reclassification of civil service positions that occurred in 1998; and to the creation of technology positions for the Center for Academic Technology Support. Eastern also has experienced no significant increase in the

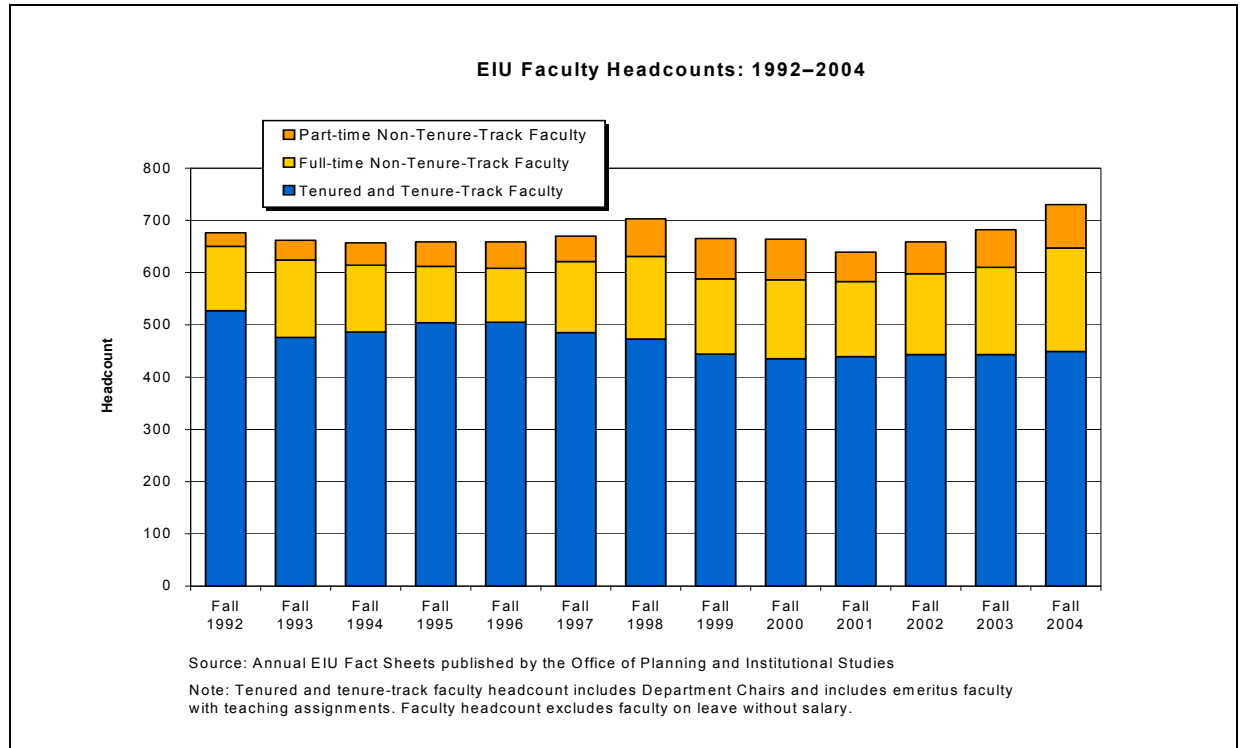


number of part-time employees, contradicting the national trend: In FY 1996, 191 employees worked part time; in FY 2004, that figure was 195. In 2003, Eastern employed 593 full-time faculty and 89 part-time faculty (the actual number is lower, since faculty with full-year sabbaticals are categorized as “part time”). The chart entitled “Expenditures by College” in Appendix C-2 provides a breakdown of personal services by academic area. The stability in employee headcount reflects the relative stability of student enrollments, workloads, and class sizes and is indicative of an institution that uses its human resources wisely.

Yet even though overall faculty headcounts have not changed significantly and overall workloads and class sizes have not increased, the ratio of tenured/tenure-track faculty to annually contracted faculty has shifted. The “Full-time Faculty Headcounts” graph, below, illustrates this trend.



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Beginning in Fall 1997 when payouts escalated from less than \$800,000 to almost \$1.4 million, the academic colleges were required to assume accrued leave/sick leave costs for their staffs. When a position became vacant, the colleges were not authorized to replace it until any payout associated with the position was provided. Furthermore, a percentage of the salary associated with the vacated position was “recaptured” to fund priority planning initiatives. This loss of base funds was exacerbated by the colleges’ absorption of annualization costs associated with mid-year salary increases. While these practices were not in place long, they reduced colleges’ personal services base funds enough to initiate a decline in the number of tenure-track faculty. In Fall 1996, 77% of faculty were tenured/tenure-track; in Fall 2003, 65% were tenured/tenure-track. While the decline has stabilized, decreased state appropriations in the form of general funds have prevented Eastern from reversing the trend.

Academic units are concerned about the shift in the ratio of tenured/tenure-track faculty to annually-contracted faculty. Increases in annually-contracted faculty may result in increased service obligations for tenure-track faculty, for example, since annually contracted faculty have no service obligations. In the School of Business, the loss of appropriated funding to keep pace with market salary increases for too long could impede the unit’s ability to hire and replace tenure-track faculty. If this trend continues, it could impact the staffing of upper-division and graduate-level courses and program accreditation. Similarly, the College of Education and Professional Studies identified securing a “stable personnel resource base (with an appropriate proportion of tenured/tenure-track faculty)” as its highest priority for the coming decade.

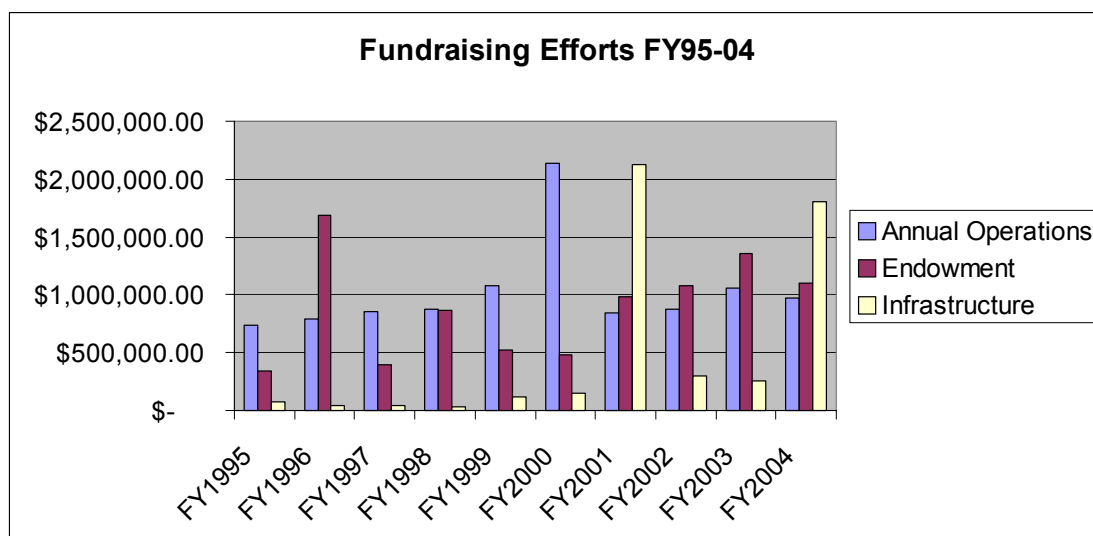


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Enhancing External Funding

That Eastern is preparing for the future is evidenced by its investments in employee salaries, professional development, facilities, and technology are discussed elsewhere in this chapter. Above all other allocations, they provide evidence of the institution's continuous commitment to ensuring a high level of educational quality. Another of the President's Planning Goals calls on the institution to "Increase public and private funding." The university's response to this directive also is pertinent to this discussion.

As the chart below shows, between FY 1997 and FY 2004, the total amount in private donations to the Foundation increased over 200%, from \$1,286,325 to \$3,878,499, evidence that the university is meeting its long range goal of increasing external funding.



This increase includes funds from the following sources:

- **Restricted Endowment Funds:** These are gifts donated to the university, co-mingled with other endowment funds, and invested. Endowment gifts may include cash, stocks, property, or related assets. Only the interest income from these investments may be returned to the university for distribution as scholarships or related awards, and often these awards have specific restrictions regarding which students or programs may benefit from the resources. In this category, donations to the university increased by 109% between fiscal year 2000 and 2003 (the only years when complete data records are available), from \$484,079 to \$1,354,811, an increase of almost 180%. Increases in the long-term endowment fund are the primary cause of growth in overall private funding.
- **Annual Operations Funds:** These are "cash-in/cash-out" gifts to the Foundation that may be used for a variety of purposes that may or may not be designated by the donors. Annual Operational funds have declined by 50% during the four-year reporting period, from \$2,133,113 in FY 2000 to \$1,057,298 in FY 2003. This decline may be related to



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national declines observed in telemarketing, a primary strategy for fund raising in this category. The Development Office has been working with the university on plans for reversing this trend and finding new strategies for annual fundraising. Annual operations funds for FY 2003 are still significantly larger than in FY 2001 and 2002.

- **Infrastructure:** These are donations for specific “brick and mortar” projects. Recent projects included the Human Services Center and the Tarble Arts Center. This category increased from \$42,000 to \$874,000 between Fiscal Years 2000 and 2001 as the Human Services Center and Tarble Arts Center Capital Campaigns were initiated. As the campaigns were concluded, the amount returned to \$78,000 in FY 2003, an 85% increase from 2000.

**External Relations
Focus Statement:**
[http://www.eiu.edu/~
planning/OPIS_200
4/focus.htm](http://www.eiu.edu/~planning/OPIS_2004/focus.htm)

Work is continuing to insure the health of private donations. Plans are outlined in the Vice President for External Relations’s Focus Statement.

In the Academic Affairs area, college development offices have been created or are redoubling efforts to engage with external constituencies to attract additional university funding in response to declining appropriations and the university’s goal to increase resources from non-state sources. For example, a Director of Development position for the College of Business and Applied Sciences was created and staffed in 1997 to facilitate friend- and fund-raising efforts. Primary objectives were to increase the level of scholarship support for students and to provide funding for academic program support and enhancement. These efforts supported the institutional mission to provide “superior” and “accessible” education. A few examples of achievements include: an increase of over twenty endowment funds in the college, bringing its total endowment to over \$7.5 million; cultivation of donors in support of three additional room namings; successful “2000 and Beyond” campaign in support of the Accountancy Program; successful “Theodore W. Ivarie Leadership and Innovation Fund” campaign; over fifteen gift-in-kind donations (e.g., books, equipment, software) to programs, one of which was valued at \$1.4 million dollars; and an increased number and value of scholarships to undergraduate and graduate students.

New development directors also have been hired in the College of Arts and Humanities and the College of Sciences, while searches are underway in the College of Education and Professional Studies as well as other units, further evidence of the university’s commitment to development efforts.

Eastern Illinois University’s grants and contracts increased by 26% from 1995 to 2003, from \$5,041,290 to \$6,384,831, another way the university is addressing the goal to increase external funding. Focused efforts among the university’s science programs and several important grants in Family and Consumer Sciences, Health and Safety, and Technology have contributed to steady increases. From FY 1999-FY 2003, the average annual amount of grant monies received at Eastern was \$6,665,478.00. While a complete listing of grants received/awarded is provided in the *Grants and Research Newsletter* and in quarterly and annual reports, selected examples follow:

- A TRIO Student Support Services grant from the U.S. Department of Education (\$237,607);

**Grants & Research
Newsletter:**
[http://www.eiu.edu/~
grants/newsletter](http://www.eiu.edu/~grants/newsletter)



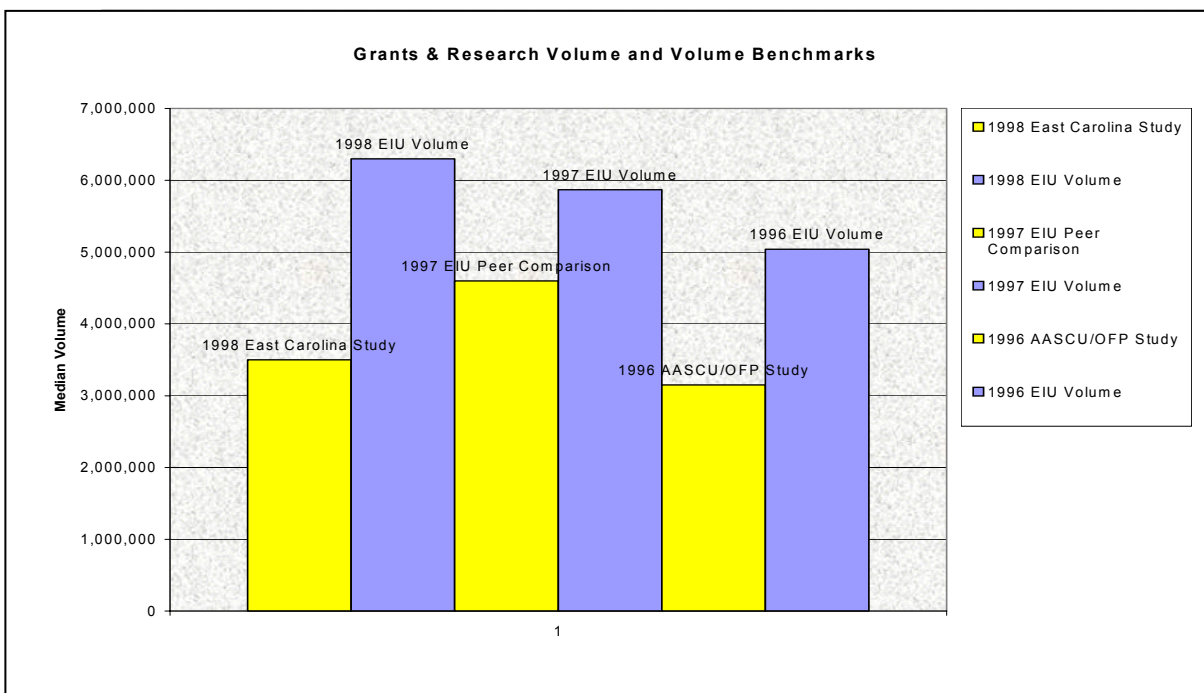
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- Operation Buckledown Law Enforcement Liaison Program from the Illinois Department of Transportation (\$219,524);
- A grant from the Illinois State Board of Education (Technology Enhancement) supporting a series of weekend sessions for teachers focused on science inquiry-based labs and incorporating technology into the curriculum (\$65,000);
- A grant from the IBHE supporting the Minority Teacher Identification and Enrichment Program designed to increase the number of minority students who become certified, practicing teachers in P-12 public schools (\$99,400);
- A two-year biodiversity grant from the National Science Foundation to train science teachers to identify species using portable technologies including Personal Digital Assistants (\$82,000);
- Grants from the National Institutes of Health supporting “Subtypes and Associate Risk Factors in Stuttering Year Two” (\$24,167) and “Effects of apo E on Olfactory Neuron Plasticity in Mice” (\$93,310);
- A grant from the IBHE supporting the Cooperative Work Study Program (\$110,000);
- A grant from the Illinois Department of Public Health for “Nutrition, Physical Activity, and Obesity” (\$10,000);
- An Illinois Public Broadcasting Grant from the Illinois Arts Council (\$76,240); and
- A grant from the Charleston Area Charitable Foundation to support the Tarble Arts Center (\$25,000).

The volume of sponsored projects at Eastern was benchmarked between 1996 and 1998 with three different groups, as depicted in the “Grants and Research Volume and Volume Benchmarks” chart, below:



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The first study, obtained from the American Association of State College and Universities' Office of Federal Programs, was based on data obtained from eighty-seven member institutions. The findings revealed that universities of similar mission and scope had an annual median volume of \$3,150,000, while Eastern's median at the time of the study was \$5,040,000. Eastern adopted a second group of benchmark institutions in 1997 for comparison. The median volume for its selected benchmark schools was \$4,610,000; Eastern, in comparison, had a median volume of \$5,870,000. Finally, Eastern compared its performance with a study completed at East Carolina University that was shared during a meeting of the National Council of University Research Administrators. The survey completed by 105 Masters Level I Institutions revealed that the median volume in 1998 was \$3,500,000, compared to Eastern's median volume of \$6,300,000. These benchmark studies reflect the institution's effectiveness at achieving its goal to secure external funding and steadily increase that funding.

One of the recurring themes of "Preparing for the Future" is that Eastern has a history of achieving its goals. Thus far, this chapter has examined seven of them: improving academic quality, salaries, efficiency, image, funding, diversity, and technology. Historically, the state has funded more than 40% of the Program Priorities Budget requests Eastern has submitted (see the discussion of 2d, below), making it fairly easy to document that not only planning and budgeting but planning, budgeting, and *funding* are linked. During the past five years Eastern very consciously has aligned its planning priorities with statewide goals identified by the IBHE in the *Illinois Commitment*. As a result, when it is financially able to, the state now rewards—via new funding allocations—planning initiatives that address these goals. Still, Eastern's priority is to craft new budget requests that meet *institutional* goals; that they also meet statewide goals is necessary but of secondary importance. At any rate, not only does Eastern link internal planning to budgeting; it also links internal planning and budgeting to externally directed (i.e., IBHE



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governed) planning and budgeting. Doing so increases the university's opportunity to receive new funds.

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

Eastern routinely evaluates efforts to achieve its planning goals. As is discussed in 2d, a planning cycle culminates in the university's development of a Results Report documenting its accomplishments for that year. This report not only allows the institution to document its accountability to stakeholders; it also provides an impetus for the President's Council's review and revision of goals for the coming year.

Institutional effectiveness also is facilitated by the annual review of key data points vital to Eastern's mission-directed focus on providing a high quality education based on close interpersonal relationships among students, faculty, and staff. These data include graduation rates, retention rates, ACT scores, licensure exam scores, alumni satisfaction, and job placement rates. They are made available in printed "Fact Sheets" and electronic reports available from the Office of Planning and Institutional Studies' web site and via the Major Assessment Profiles described in "Student Learning & Effective Teaching," and they are used in planning and marketing materials. Eastern has a tradition of maintaining these indicators of high quality. Since at least 1995, for example, graduation rates have approximated 60% over six years; freshman-to-sophomore retention rates have hovered around 80%; the composite ACT score of entering freshmen has averaged 22; and alumni satisfaction rates have approached 90%. Even though no action beyond monitoring these indicators has been required, continuous improvement is being sought. It is the role of the newly formed Academic Retention Committee, for example, to develop means to increase retention by an additional 3%.

Another key to ensuring that an institution is prepared for the future is its development of a system that supports the continuous improvement of its faculty and staff. At Eastern, faculty and staff are evaluated annually by criteria developed by them and/or their peers and easily accessed in electronic and written forms. These criteria offer direction and incentives for continuous improvement. Coupling them with the previously described professional development activities provides employees with real opportunities to enhance their performance.

Faculty Evaluation

Tenure-track and annually-contracted faculty have bargained collectively with Eastern since 1976 and 1985, respectively. The current *Agreement* covers tenured/tenure-track faculty (Unit A) and annually-contracted faculty and academic support professionals (Unit B). (Academic Support Professionals—ASPs—are employees who interact with students and support the university's curriculum and policies but do not teach—e.g., advisors, admission counselors, psychological counselors, lab assistants, and so on.) The *Agreement* provides meaningful criteria for the evaluation and improvement of faculty performance. As indicated in Article 8.1 of the Unit A *Agreement*, for example, "the purposes of evaluation are to judge the degree of effectiveness of the employee's performance, to identify areas of strength and weakness, and to improve employee

Fact Sheets:
<http://www.eiu.edu/~planning/FCTSHT.HTM>

Major Assessment Profiles
<http://www.eiu.edu/~acaffair/MAP/>



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performance. Additionally it shall provide a basis for the university president and the board to make decisions, as appropriate, concerning retention, promotion, or tenure.”

For tenure-track faculty, the evaluation process establishes successively more rigorous standards for effective performance in the areas of teaching/performance of primary duties, research/creative activity, and service. Teaching/performance of primary duties is considered the most important of the three areas of evaluation. To be awarded tenure, a Unit A faculty member must demonstrate and sustain “superior” teaching/performance of primary duties, “significant” research/creative activity, and “significant” service. Contractually prescribed standards also set performance goals for faculty promotion in rank. To be promoted to the rank of professor, for instance, a faculty member must demonstrate “superior” performance in all three areas of evaluation. Tenured faculty also are evaluated annually to identify areas of strength and weakness and to improve performance. These practices help ensure continued excellence in teaching by faculty at all levels.

The *Agreement* also provides performance standards for Unit B annually-contracted faculty in the area of teaching/performance of primary duties and links them to incentives such as merit consideration and priority re-employment opportunities.

The faculty’s continuous improvement is encouraged in a number of ways. For example, tenured faculty may apply for sabbatical assignments (annually, one is allocated for every sixteen faculty members) to be used for professional development. During the six-year probationary period, tenure-track faculty generally are assigned reduced teaching workloads (twenty-one credit units annually as opposed to the twenty-four credit unit maximum load assignment) to pursue development prerequisite to tenure. During one semester of the probationary period, tenure-track faculty also may be awarded six credit units of reassigned time for non-instructional activities such as research and service. For faculty who are actively engaged in a research agenda in addition to their teaching, the current Unit A *Agreement* provides a pool of credit units focused on research. Additionally, it provides for leave without salary. If the leave is designed to enhance the employee’s performance of current duties, the university will continue to contribute to his or her benefit plan.

Other performance incentives for Unit A faculty include Achievement and Contribution Awards (ACAs) which recognize accomplishments in specific areas of evaluation or in overall performance and result in a monthly base salary increase of \$75. Full professors can apply for a Professional Advancement Increase (PAI), equivalent in compensation to a promotion. Though they are seldom used, retraining leaves are available to Unit A faculty as well.

Unit B *faculty* have the opportunity to earn a quadrennial Performance Based Increase (PBI) tied to the documentation of their superior performance in teaching/performance of primary duties; the PBI results in a \$100 monthly base salary adjustment. Unit B members also are eligible for merit increases based on their annual evaluations. Academic support professionals in Unit B also can apply for PBIs. In addition, ASPs can request paid administrative educational leave for study, research, and professional growth related to their duties or a retraining leave to acquire new skills for the benefit of the university.

While the *Agreement* defines a number of incentives for continuous improvement, units such as Faculty Development, the Center for Academic Technology Support, and Booth Library provide



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or coordinate many of the professional development activities faculty subsequently engage in. Just as there are incentives for positive performance, so, too, is there a penalty for failing to meet goals for retention and tenure: a terminal contract. Terminal contracts are rarely awarded, however, since the *Agreement*, in combination with individual Departmental Application of Criteria (DAC), so clearly delineates expectations for continuous improvement. Each step of the evaluation process for retention, tenure, and promotion includes review and feedback by the Department Personnel Committee, by the department chair, by the dean, and by the University Personnel Committee, as well as by the provost. Evaluations are conducted and feedback is provided in each area of evaluation: teaching/performance of primary duties, research, and service. If an employee is not meeting a required standard, the evaluation clearly identifies the area(s) of concern. As a result, faculty who are unlikely to make a successful bid for tenure know this very early in the process. These processes are in place to maintain excellence in teaching.

While Eastern will make significant changes in how it tracks employment-related data once it converts to the SCT Banner system, current systems for collecting and analyzing information pertinent to the evaluation process work effectively. Because the evaluation process is contractually mandated and so is subject to collective bargaining, any needed changes in evaluation processes are discussed by the university and the faculty union when the contracts are renegotiated.

Civil Service Evaluation

Internal Governing Policy #39, “Civil Service Performance Appraisal,” is available online. As the policy indicates, civil service evaluation is designed to “provide a consistent method of communication that promotes quality, continuing dialogue between supervisors and employees regarding job performance, job descriptions, work environment and opportunities for career growth.” It also is intended to encourage continuous improvement, addressing employees’ “right to know where they stand with regard to job performance and expected outcomes.” It is *not* intended to compare employees’ performance or to be the “sole basis for initiating formal disciplinary action.”

IGP #39:
<http://www.eiu.edu/~auditing/IGP/policy39.html>

Human Resources:
<http://www.eiu.edu/~humanres/index.htm>
|

The current civil service employee performance appraisal form was created by a campus-wide committee which reviewed input from many campus areas before submitting it to the President's Council for approval. Staff in the Human Resources Office introduced the appraisal process to the campus in a variety of ways, including presentations to all pertinent groups on campus, web-based directions and forms accessible on the Human Resource's web site, and a video offering additional guidance on staff evaluation issues. The performance appraisal process establishes clear goals for performance, requiring the supervisor to rate an employee's performance in several explicitly defined areas: job knowledge, judgment, reliability, quality of work, quantity of work, interpersonal and communication skills, teamwork, supervision and leadership (where applicable), and two position-specific criteria. Annually, the supervisor also establishes a minimum of two goals for which an employee's performance is to be evaluated. At the beginning of the appraisal period, the supervisor and the employee must discuss and define the position-specific criteria and the performance goals the employee will be working toward during the rating period. Requiring employees to help determine their own performance criteria and goals increases their commitment to and their vested interest in the appraisal process.



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Performance rating categories, each of which is carefully defined, include “unacceptable,” “needs improvement,” “meets expectations,” and “exceeds expectations.” Supervisors are required to explain and justify their ratings, information an employee is expected to use to improve subsequent performance. In addition, employees are evaluated according to how well they have met established goals. Prior to their formal appraisal, employees are encouraged to complete performance worksheets that allow them to record important contributions, notable obstacles, and other information they believe will aid supervisors in completing the evaluation. This summary provides employees an excellent opportunity to think critically about their own performance and to begin to develop mechanisms for their own improvement. Throughout the year, the supervisor is expected to track “noteworthy” job-related incidents, as they occur, in an “Event Record” designed for this purpose. These incidents may be positive or negative, and in either case are intended to help the supervisor complete the annual Performance Appraisal Form and to encourage an employee’s continuous improvement. Once the appraisal is complete, the employee has the option of approving, questioning, or appealing the supervisor’s conclusions.

Civil Service Performance

Appraisal Form:

<http://www.eiu.edu/~humanres/Forms/pdf/NONEasternDec03.DOC>

IGP #35:

<http://www.eiu.edu/~auditing/IGP/policy35.html>

Civil Service Grievance Procedure:

<http://www.eiu.edu/~labor/grievnonneg.htm>

IGP #31:

<http://www.eiu.edu/~auditing/IGP/policy31.html>

The Civil Service Performance Appraisal Form is available online. While the majority of human resources policies are designed to support improved performance, penalties for unacceptable performance also are specified. When pay for performance is involved, an employee’s failure to meet set goals results in a reduced salary percentage increase, for instance. Internal Governing Policy 35, “Civil Service Disciplinary Management” identifies the causes for which disciplinary action may be pursued and outlines the process that must be followed. A civil service employee with just cause may, of course, file a grievance. Copies of the procedures are available on-line or in the Office of Employee and Labor Relations on the second floor of Old Main.

While the civil service appraisal process is new, the data collection and analysis systems on which it is based have performed successfully in the past.

Administrator Evaluation

Internal Governing policies #31, “Performance Evaluation of Administrative Staff,” and #29, “Department Chairs,” direct the annual evaluation of administrators employed by the university. In these evaluations, supervisors are required to consider, at a minimum, “program development, personnel management, affirmative action and cultural diversity enhancement, budget management, constituent relations, and overall performance.” In addition, at least every three years administrators must be evaluated using the Administrative Performance Appraisal Instrument. As part of this process, the employee and supervisor jointly agree on goals and objectives and their relative importance for the performance period. They also determine the respondents who will provide feedback and the supporting materials that will be utilized in the process. All feedback is kept confidential, though unsigned feedback is not used in the process. By July 15, the supervisor is expected to provide a written performance appraisal to the employee which also is added to his or her university personnel file. This appraisal subsequently is used to develop mutually agreed-upon goals and objectives for the next performance appraisal period.

When funds are available, the administrative evaluation process may be coupled with performance and equity adjustments. Generally, administrators do not receive merit pay. It is sometimes possible, however, to reward the unit a high performing administrator leads by providing it additional operating funds or addressing a planning initiative particularly important to it. Because



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administrators are “at will” employees, unsatisfactory performance can result in termination according to established guidelines.

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

One of Eastern’s most important achievements in the past decade is its implementation of a clearly defined, articulated planning process designed to support its key strengths—its long history of excellent retention and graduation rates and alumni satisfaction—and link directly to the university budgeting process.

Evidence that Eastern links budgeting to planning goals is visible in a number of artifacts. The figure below provides a visual representation of the planning and budgeting cycle, demonstrating the causal link between these activities. Prioritized Unit Planning Initiatives—which may be submitted by an academic department, a service unit, a vice president’s office, etc., so long as they articulate with higher level university and statewide goals—trigger the development of new budget requests. The Planning Calendar included in Appendix C-2 details a single two-year cycle of planning and budgeting. Planning begins in September with the development of the President’s Goals and culminates two years later in the submission of the Performance Report (formerly the Results Report), an accountability study which summarizes the year’s planning and budgeting achievements. Midway between these events, the university submits to the state a new budget request based on the unit initiatives that university leaders deem most important to Eastern’s overall mission and goals.

Planning & Institutional Studies:

<http://www.eiu.edu/~planning/>

Results Report:

<http://www.eiu.edu/~acaffair/results.htm>





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**Academic
Affairs' Focus
Statement:**
http://wwwhttp://www.eiu.edu/~planning/OPIS_2004/AAFAIR3.htm

Two other artifacts document the clear relationship between planning and budgeting. The Academic Affairs' Focus Statement for Fiscal Year 2003 lists the Provost's goals and objectives for the academic area. This list articulates with university goals, refining their larger field of vision to focus more specifically on priorities in the academic area. Interpolated with this list are the Program Priorities Budget Requests (PPRs or new budget requests) that were submitted for funding consideration in FY 2003. From this document, one can see that every request for new money—for salaries, assessment, research, technology, and so on—was developed in the context of the Academic Affairs Focus Statement. The discussion of salary improvement included in Core Component 2b, above, provides another illustration of the link between planning and budgeting, as does the discussion of the EIU4 Program in 2d, below. Other evidence is visible in the annual Results Report, submitted to the IBHE as evidence of the institution's accountability to its on- and off-campus constituencies and described in more detail in "Mission & Integrity."

One additional example of Eastern's implementation of its planning goals is its focus on President's Goal Seven, "Address deferred maintenance and the campus master plan." In its 1995 visit, the NCA team identified deferred maintenance as a "long-standing problem that must be addressed in an aggressive manner. Recent studies estimate that deferred maintenance needs on buildings funded with appropriated dollars total \$101 million, or \$71 per square foot. This is, in fact, a decrease over 1999, when deferred maintenance was estimated at \$80 per square foot. This decrease has resulted from a significant increase in annual funds devoted to deferred maintenance projects, but more importantly, from the completion of the Booth Library renovation project and the new Human Services building, the beginning of the Fine Arts Building renovation, and, ironically, the Blair Hall fire: Insurance funds will be used to renovate the building, effectively removing its projects from the capital renewal list. Still, with only a \$1.7 million budget for deferred maintenance and \$101 million in needs, and with an \$800,000 budget for capital renewal projects and a current list of priorities totaling \$4 million, Eastern's progress necessarily will be slow.

Fortunately, however, it will be steady. Efforts to reduce deferred maintenance have been aided by the development of a Campus Master Plan that, in 1999, became the guiding force for facilities and grounds development at Eastern. The Campus Master Plan documents the vision for the campus in addition to providing an important planning tool; it is the vehicle by which the entire campus community may become involved in the university's future physical development.

**Facilities
Planning &
Management:**
<http://www.eiu.edu/~physplnt/index.html>

Facilities Planning and Management maintains a web site that apprises the campus of improvements, planned and underway. This site also houses the university's Campus Master Plan.

Continuing to address deteriorated campus infrastructure is among Business Affairs' top priorities, for it recognizes the effect this infrastructure has on the teaching and learning activities at the core of the university's mission. In 1995, for instance, Eastern Illinois University experienced a major electrical outage resulting from problems with the local utility and weak electrical distribution cabling. A study was initiated to determine the extent of other electrical infrastructure problems that could lead to a major outage. Since that outage, the university has experienced six additional failures on the high voltage distribution system. These outages forced academic, residential, and administrative buildings to be out of service for extended periods. The most recent occurrence on Christmas Eve 2000 resulted in a major piping system freeze-up and significant mechanical systems damage in the Fine Arts complex. As a result, Business Affairs



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worked to secure capital funds that will be used to develop a reliable electric distribution system that will serve the university for approximately fifty years.

As part of their self-study analysis, two units reported significant concerns with facilities, concerns that are addressed in the Campus Master Plan. In the College of Sciences, classrooms and labs in biological sciences, chemistry, and psychology are inadequate for modern, high tech instruction. For this reason, a new science building and an animal care facility are among the capital requests that will be forwarded to the state once the Fine Arts Building renovation is safely underway. This project will enhance the college's efforts to recruit and retain faculty and students in the sciences and ensure its compliance with animal care and hazardous material storage requirements. Similarly, while Housing and Dining facilities are structurally sound, significant investment must be made to transform them to meet the aesthetic needs of future generations of students but also to enhance their safety. Some of these enhancements include sprinkler systems and safer fire evacuation systems.

That progress has been made is apparent from the NCA Self-Study Survey: Almost 60% of those responding to Item 11d agreed that physical facilities had improved during their time at Eastern. Reducing deferred maintenance at an institution that is more than one hundred years old is a Sisyphean task. However, it is another trend to which Eastern must continue to attend, since the condition of our physical facilities plays an increasingly larger role in prospective students'—and prospective employees'—selection processes.

All university employees have the opportunity to participate in planning in their units. Their representatives on CUPB also are invited to provide their feedback on institutional and vice presidential planning goals. Planning initiatives, in turn, are designed with the university's primary constituents—students—in mind. Improving salaries, assessing academic programs, or implementing “keyservers” that provide students with access to commonly used software improve student learning. That students' needs and interests are integral to the planning process is evident in Eastern's recent construction of the new Human Services Center. Original planning documents called for the renovation of the Health Service building. In FY 1998, however, students voted to add a "Campus Improvement" fee to their current tuition and fee charges since it meant that services important to them would be improved. This fee of \$50 per student, per semester, provided funding for a *new* Health Service, Counseling Center, Career Services, and Communications Disorders and Sciences Department facility, completed in July 2003. All of the Health Service units except Health Education now reside in this building, providing a wonderful new environment where students are better able to receive services and personal health education which enhance their ability to participate fully in the intellectual and personal growth opportunities afforded by the university.

Planning at Eastern also is affected by statewide directives that, in part because they may be linked to new budget allocations, cannot be ignored. One example of this inter-relationship is Eastern's implementation of EIU4, a graduation incentive program designed to increase the number of students who complete a baccalaureate degree within the now non-traditional four-year time frame. The EIU4 initiative first appeared in Academic Affairs' planning documents in 2002, when it was linked to the President's Goal to increase enrollment. EIU4 also supports the university's mission to provide accessible education: By limiting the time required for a student to earn a degree, EIU4 reduces the cost of education, making higher education both more accessible and more affordable. Increasing access to and the affordability of education also are goals of the



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Illinois Commitment, the previously described state master plan for higher education. In addition to attending to state goals, EIU4 also complements Illinois' "Truth in Tuition" initiative which guarantees cohorts of students that they will not see an increase in tuition at a public university while they complete their program of study. By developing a planning initiative that linked not only to its mission but also to the state's priorities, Eastern was able to secure new grant funds to support the EIU4 program.

It is important to note that federal mandates impact planning and budgeting as well. Since 9-11, for instance, Eastern has been responsible for complying with stringent guidelines directing the admission and tracking of international students. Similarly, the government has increased its scrutiny of institutions' compliance with federal standards for the study of human and animal subjects, since meeting these standards is prerequisite to securing a number of external grants. Planning objectives developed by the Dean of the Graduate School must reflect these external mandates, since they affect staffing and workload in the Office of International Studies and the Office of Grants and Research, as well as student enrollment and faculty research activities.

Finally, it also is significant that Eastern's planning process is flexible enough to adapt to emerging concerns. On occasion, new goals must be developed. When enrollment dropped by 10% between Fall 1998 and Fall 2001 (from a headcount of 11,735 to one of 10,531), for instance, the president added an additional goal in FY 2003: "Increase Fall 2002 Enrollment by at least 250 students." This goal was exceeded in 2002 and 2003, and though the upward trend seems to have ended, overall enrollment is expected to remain solid in 2004 and beyond. In other situations, new objectives are identified that allow the institution to address concerns in the context of existing goals. When transfer student enrollments began to decline in the late 90s, for instance, the university responded with initiatives that resulted in a revised general education program that fully articulated with the state's transferable General Education Core Curriculum and in increased image-building and outreach efforts. These initiatives succeeded in rebuilding both community college relationships and transfer student enrollments.

See the Conclusion of this report for final comments on issues discussed in this chapter.