5.A - Core Component 5.A

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

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

Argument

CWRU’s resources allow it to deliver its educational programs and to continue its research activities. The university recognizes the importance of integrated planning to carry out its mission in a stable fashion and for the purpose of advancing the quality of its programs.

1. CWRU has the appropriate financial and human resources to carry out its mission, as well as suitable technology and the necessary physical infrastructure to support its operations. Basic facts and figures about the university are presented on the CWRU at a Glance webpage. The university holds an endowment of approximately $1.8 billion, and has an annual operating budget of just over $1 billion. More than 40% of the total annual expenditures is associated with CWRU's research enterprise. About one-third of that amount is dedicated to instructional costs, and the balance to student support services and university auxiliaries. See the audited financial statements for fiscal years 2013 and 2014 for additional detail. No academic programs have been discontinued because of the lack of financial resources.

The university has more than 3,200 full-time faculty members, while the staff numbers around 3,100. Of the full-time faculty members, only about 1,300 are employees of the university; the others are paid through an affiliated hospital. However, their rights and responsibilities as members of the CWRU faculty are determined not by the source of their pay, but by their appointment. (Note that the HLC Annual Institutional Data Update asks for a report on the number of faculty members employed/paid by the university.)

At the undergraduate level, student-to-faculty ratio is below 10:1. This places CWRU at a relatively high position on the list of student-to-faculty ratios developed from IPEDS data.

CWRU has a robust technological infrastructure that supports both its educational and research missions. Classrooms are outfitted with a range of modern technologies useful for teaching and learning. The university utilizes Blackboard as its primary learning management system, while Moodle is used for a few programs, such as the online Master of Science in Social Administration offered by the Mandel School of Applied Social Sciences. MediaVision Courseware is a lecture-capture system primarily used for undergraduate courses. Approximately 100 courses per semester are made available through MediaVision. The university also provides research computing resources.
that include high-performance computing and research database services, among others. A brochure on CWRU's computing resources provides additional detail.

The university's physical facilities are managed through the Office of Campus Planning and Facilities Management. CWRU regularly reviews and prioritizes its physical facilities needs; this activity is guided by principles articulated in its Master Planning documents. CWRU's last master-planning process concluded in 2005, with a number of building projects proposed. Many of the near-term projects have been completed. More recently, the university began another major master-planning activity, which is expected to culminate in a new plan issued in 2015. These activities are undertaken to ensure that CWRU can continue to provide the physical infrastructure needed for its research and educational missions.

CWRU delivers degree programs at three additional locations outside of Cleveland. These include three within the USA (Houston, San Diego, and Washington DC) and two abroad (Shanghai, China, and Jamshedpur, India). Adequate physical facilities (either dedicated to CWRU's operations or provided by our partner institutions) are available at these additional locations. See the example of the Case School of Engineering's facilities for the Wireless Health programs in San Diego. CWRU faculty members and program administrators are permanently stationed at these off-campus locations to ensure good experience for students enrolled at these sites. See the examples for the MS in Anesthesia programs offered in Houston and Washington DC.

CWRU also takes steps to ensure that it will continue to have the fiscal and human resources to support its programs going forward into the future. For example, as part of a strategic plan, in 2010 the CWRU Board of Trustees authorized a $15 million investment in a strategic hiring initiative for faculty in the Case School of Engineering. Likewise, CWRU's capital campaign will enable the university to continue investing in faculty and staff resources, as well as campus infrastructure.

2. Educational purpose is of the utmost importance at CWRU, and the university's allocation of resources aligns with this principle. The university has not terminated any programs, eliminated departments, or ceased operations at off-campus locations because of financial constraints or resources being directed elsewhere within the university. Also, CWRU does not have any superordinate entity to which resources are directed.

The university is an Ohio not-for-profit corporation operating as a private research university. Audited financial statements (see the examples for fiscal years 2013 and 2014) illustrate that about one-third of CWRU's operating expenses are directly allocated for instructional costs, and about one-fourth of the operating expenses are associated with support services (e.g., library and information technology, health and counseling services, and academic support activities) or auxiliaries (residence halls and food services). The balance of expenditures is associated with CWRU's research enterprise. Thus, expenditures are consistent with the university's educational and research missions.

Strategic plans for major administrative units and services area also developed and implemented according to available resources. See examples from the Division of Student Affairs, Information Technology, the University Libraries, and the Office of Inclusion, Diversion, and Equal Opportunity.

Note that the University Budget Committee (UBC) and the Faculty Senate Finance Committee (FSFC) work with the administration to assure that the budgetary goals and priorities are responsive to the academic plans. The UBC serves as an advisory body to the administration and is charged with review of all budget assumptions and plans at all stages of the budgetary process both for administrative and support areas as well as for all academic units. The UBC takes a university-wide perspective in all of its deliberations and recommendations. The charge for the FSFC provides, in
part, that it “... shall participate with the university administration to assure that the budgetary goals and priorities are responsive to the academic plans.” The FSFC is also charged with “reviewing and reporting to the Faculty Senate on the [university's] adherence to budgetary priorities and the attainment of budgetary goals.”

The university prepares an annual Budget Book that provides detailed information about the operating budgets and resource allocations. (See the examples for fiscal years 2014 and 2015.) Expenditures for each of the university's eight management centers (the college and schools) are presented in detail. Expenditures in the management centers generally mirror the revenues generated within the management center. However, the budgets within each unit may be brought closer to balance through the use of surplus retained from prior years, or through tuition subvention arranged through the central university administration. See, for example, the 2014 budget for the College of Arts and Sciences or the Case School of Engineering.

3. The goals of CWRU's mission statement continue to be realistic and achievable given the university's resources, structure, and opportunities. CWRU’s mission statement has remained essentially the same since the 2008 strategic planning process that resulted in Forward Thinking. Minor revisions were made in response to new opportunities and strategic directions were articulated in the 2013-2018 strategic plan, Think Beyond the Possible. The current strategic plan was developed with the knowledge that additional resources, structures and timelines will be necessary to implement the goals of the plan. To make achieving these goals realistic, the university continues to make efforts to control costs, manage expenses, and reduce investments in areas that do not further the university's current set of goals.

In addition, the academic units are guided by their school-specific plans, in which school-level priorities are coordinated with those in university-level strategic plan. Recent strategic plans for the College of Arts and Sciences and the schools of Dental Medicine, Engineering, Law, Medicine, Applied Social Sciences, and Management are provided as examples. Three-year financial plans developed within the schools are aligned with the schools' strategic plans and updated annually.

4. All of CWRU's faculty and staff members are appropriately trained and qualified in all areas.

Faculty: The Faculty Handbook explicitly provides the qualifications and standards for the appointment, reappointment, promotion, and tenure of CWRU faculty members (see Chapter 3.I.F of the Handbook). The qualifications and standards are further detailed in each constituent faculty’s bylaws. For examples see the descriptions in the bylaws of the College of Arts and Sciences, the Case School of Engineering, and the School of Medicine. See the faculty roster for some details about qualifications of the full-time faculty members.

CWRU holds accreditation status with more than twenty-five professional organizations. Accreditation reviews for these organizations routinely include an evaluation of the qualifications of the faculty members teaching in those programs. See, for example, the statements on faculty qualifications from the ADA (American Dental Association), ABET (Accreditation Board for Engineering and Technology), and the AACSB (Association to Advance Collegiate Schools of Business). None of these specialized accrediting agencies have ever raised questions raised about the qualifications of CWRU faculty members.

The university has an Office of Faculty Development which provides resources for faculty members to continue to build new skills and advance in their careers. The Office of Faculty Development provides support for faculty members to become more effective teachers, researchers, and mentors to students (and junior colleagues). In addition, each of CWRU's eight schools has an office or an
Staff: The Department of Human Resources provides resources for creating job descriptions for staff hiring. In addition to listing job functions, the description must provide the minimum requirements for the candidate’s experience and education. The job description must also list the measurable or observable knowledge, skills, abilities, and/or behaviors required to succeed in performing the essential functions. Certain types of staff positions with similar job functions fall under family job descriptions and for these, job description templates may be provided. Only those applicants meeting the requirements set forth in the descriptions are selected to interview for staff positions.

The Department of Human Resources includes the Organizational Development and Learning Unit which was formed to provide multiple levels of training and organizational development functions for university staff. This unit plays an integral role in providing senior leadership, supervisors, and employees with competencies that positively impact the effectiveness, productivity, and overall culture of the university.

5. CWRU follows thorough and transparent processes for monitoring budgets and expenses, both at the institutional level, and within the academic units.

The Office of Budget and Financial Planning (within the Division of Finance) is charged to develop the operating and capital budgets, formulates budget guidelines, monitors budget performance, including forecasts of operating revenues, and develops long and short-term financial planning systems. The university’s annual operating and capital budgets are developed on a regular cycle each year. The annual cycles for planning and developing operating budgets are depicted on diagrams that help explain the various ways in which information flows into these processes. Quarterly forecasts are required from all units throughout the fiscal year (July-June) and the forecasts are reconciled with actual expenses each month. The individual academic units also prepare annual operating budgets through established mechanisms. See, for example, the description of the annual budget process for the School of Medicine. The university's constituent academic units are expected to develop three- or five-year budgets for longer-range planning.

Proposal for capital expenditures follow a different approval process. Proposers of capital projects submit documents that detail and justify the project. Major expenses (> $250,000) require the proposer to complete an additional form. These documents are reviewed and approved by the Office of Budget and Planning prior to implementation.

CWRU’s financial information is maintained and accessible to appropriate individuals through the PeopleSoft Financial System.

Research expenditures are carefully monitored. Reports compiled by independent auditors in compliance with OMB Circular A-133 indicate that CWRU does have well-developed processes in place for budgeting expenses charged to federal grants. See sample reports for fiscal years 2012, 2013, and 2014. Similar reports for other years are posted on the audit-services website.

The administration of each of the eight schools includes a financial officer, or an office of finance and administration or operations, for the purpose of overseeing all budget and finance matters in that unit.

Each of the schools is required to have its own budget committee and a representative from the school’s committee serves on the Faculty Senate Finance Committee (FSFC). The FSFC receives an annual written report from each of the school budget committees and in turn reports to the full Senate each April. It receives regular reports from and provides input to the University Budget Committee.
(UBC), administration and deans on behalf of the faculty. The UBC serves in an advisory capacity to the provost, chief financial officer, and president, and provides a university-wide perspective on budgetary goals and priorities.

Holding accreditation status with professional organizations usually requires the programs to demonstrate that well-developed budgeting and monitoring procedures are in place. See, for example, the accreditation standards on financial planning from the ADA and the AACSB. CWRU's budgeting processes were perceived to be sound by these professional accrediting bodies.

Sources

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- Annual budget planning cycle
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- Audited Financial Statement (FY 13)
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• Overview of Campus Planning & Facilities Management office - from website
• Overview of MediaVision Courseware - from website
• Overview of PeopleSoft financials module - from website
• Overview of research computing resources - from Information Technology Services website
• Overview of the engineering faculty hiring initiative - from website
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