Innovation and Economic Prosperity Universities: Building a Strong Community of Practice Among Designees

Objectives and Introduction

The Innovation and Economic Prosperity Universities Program was established by the Association of Public and Land-grant Universities in 2013 to offer universities an opportunity to better know, measure, tell, and enhance their economic and community development impact while recognizing institutions that have demonstrated a substantive, sustainable, and institution-wide commitment to and strategy for regional economic engagement, growth, and economic opportunity.

Since 2013, higher education institutions across North America have earned the IEP designation. The designees vary in size, location, and even APLU membership. Once designated, IEP designees can apply for IEP awards (APLU members only), and participate in webinars, IEP meetings, and other events. To maintain the designation, IEP designees apply to sustain the designation every five years.

To date, the processes for designee engagement, sustaining the designation every five years, have not been very well defined. The IEP Executive Committee has been working on better defining these processes and connecting them to achieve a satisfying designee engagement program that continues to provide value to designees.

Goals of the IEP Designee Community of Practice

The goal of the IEP designee community of practice (CoP) is to increase the value of the IEP designation by:

- Advancing the CoP’s understanding and practice of effective economic and community engagement.
- Providing peer support to the IEP community.
- Ensuring that the IEP Universities designation maintains its value as a mark of excellence—a signal of an institution’s continued commitment to effective economic engagement.
- Communicating outside the CoP about the value of university economic engagement, and, more specifically, the value of IEP designation.

To meet these goals, the committee proposes an annual process for designee engagement that will lead to a series of five-year extensions of the designation. Participation in all parts of the annual engagement process is not required; however, participation in the community of practice will be an

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1 Non-APLU members were invited to participate in IEP starting in 2018, by paying a fee to participate.
2 There will be a catch-up year in 2023 for institutions whose five-year process is overdue. A schedule for the catch-up year is shown in Appendix C.
important part of the evaluation of the five-year designation extension process because it demonstrates the institution’s continuing commitment to economic engagement and the IEP designee community. Furthermore, a summary of the institution’s annual reflection memos will become a helpful input to the five-year extension process.

For an individual IEP-designated institution, opportunities for participating in the Community of Practice could include the following:

- Setting optional annual goals for the institution’s economic engagement.
- Attending an annual IEP summit that leverages these affinity groups to highlight common challenges and share best practices.
- Collaborating on programs that support the IEP community.
- Developing knowledge products such as blog posts and webinars.
- Reflecting on the progress, changes, and challenges faced by the institution throughout the year and documenting it in an annual reflection memo.

**Description of the IEP Community of Practice Annual Engagement Opportunities**

Once designated an IEP university, institutions continue to participate in the community of practice. The optional annual designee engagement opportunities, described in Figure 1, include identifying goals for the coming year, presenting at the IEP annual summit, and writing an annual reflection memo that summarizes the institution’s accomplishments for the year and sets goals for the coming year. Members may also author blog posts, compete for awards, and offer webinars to the IEP community as part of their engagement within the community of practice.

After five years, IEP universities apply for an **extension** of the designation. As part of the extension application, they summarize the five years of annual reflection memos and collect additional data that informs their extension application and the economic engagement strategy for the next five years. At the 10-year mark, an institution will complete the 5-year Extension application along with a new Growth & Improvement Plan as a commitment to continuously improving the institution’s economic engagement efforts. This sequence will repeat itself every five and ten years, respectively; see example sequence table below:

<table>
<thead>
<tr>
<th>Year</th>
<th>Sample IEP Designation Extension Application Sequence</th>
</tr>
</thead>
<tbody>
<tr>
<td>2023</td>
<td>Institution receives IEP Designation</td>
</tr>
<tr>
<td>2028</td>
<td>Institution submits a 5-Year Extension Application</td>
</tr>
<tr>
<td>2033</td>
<td>Institution submits a 5-Year Extension Application <strong>AND</strong> a new Growth &amp; Improvement Plan</td>
</tr>
<tr>
<td>2038</td>
<td>Institution submits a 5-Year Extension Application</td>
</tr>
<tr>
<td>2043</td>
<td>Institution submits a 5-Year Extension Application <strong>AND</strong> a new Growth &amp; Improvement Plan</td>
</tr>
</tbody>
</table>

3 Designees that will pursue any type of 5-Year Extension before 2027 will have fewer than five years of reflection memos to work with, and that is fine. A schedule of the 5-Year Extension and Growth & Improvement Plan application is found in Appendix C.
Annual Goals

At the beginning of each year, the primary and secondary contacts at IEP designee institutions are encouraged to identify one primary and one secondary goal for their economic engagement. For example, the goal might be developing a new internship program, working on promotion and tenure guidelines for economic engagement, or designing a neighborhood engagement program. These goals may be tied to the institution’s original growth and improvement plan, or they may have emerged from a more recent strategic process that has shifted the institution’s engagement priorities. In any case, the goals should be set in collaboration with internal and external stakeholders to ensure that they are widely held institutional priorities for economic engagement. They should also be tied to one or more specific metrics that will help the institution determine whether these goals have been met at the end of the year.

Annual Reflection Memo: Documenting Progress and Experience

Each year, the IEP designees are encouraged to author an optional annual reflection memo. The purposes of the annual reflection memo are:

- Document key changes in the leadership of the university that have affected the economic engagement enterprise.
- Document changes in the regional economic ecosystem that have created a need for changes in the economic engagement enterprise.
- Document any other changes that are important to economic engagement enterprise and call for an update to the growth and improvement plan.
- Reflect on the progress made toward the goals identified at the start of the year.
- Reflect on the biggest challenges faced in your economic engagement enterprise this year.
- Identify goals for the following year.
APLU will design a template with these prompts and suggest a maximum length for the memo. A notice will be sent out to IEP designees after the APLU Annual Meeting as a reminder to begin compiling information to develop their annual memo. In the new year, a series of notices will be sent to IEP designees reminding them to submit their optional Annual Reflection Memos to APLU by the last business day of March. APLU will keep the annual memos in our files but will not share them publicly. The purpose of APLU keeping them is simply to ensure that they are available in case of leadership transition and to ensure that we can collect five years of these memos to assist the campus contact in meeting the requirements for the 5-year extension. You should think of the annual reflection memos as a savings account for your 5-year extension application(s). APLU can function as a repository of this information and provide institutions with the relevant documentation when requested.

Designees may wish to share some key learning of their annual reflection memos with the entire IEP community as an IEP Perspectives blog. APLU has developed and will share the guidelines for the IEP perspectives blog for this purpose.

**IEP Annual Summit: Working together to Strengthen the Community of Practice – In Person!**

As described in Figure 2, the annual summit will be held in conjunction with the CECE Summer Meeting with planning support from the IEP Executive Committee. The Summit will leverage the Executive Committee, where there is interest, to organize workshops. We might also organize a 5-year case study panel—a group of institutions approaching their 5-year Extension Review—to share their preliminary thoughts about how they might put together their five-year extension application. We could also invite a local IEP designee to ask IEP designees to workshop challenges they are facing in their economic engagement and crowdsource ideas for solutions. IEP designees might use the Summit as an opportunity to engage their internal stakeholders by inviting one of them to participate as an observer or participant, so that they might learn more about how they can work more closely with the IEP campus contacts to leverage the benefits of the designation.

<table>
<thead>
<tr>
<th>5-year Case Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Preliminary discussion of five years of IEP experience</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Local IEP Ecosystem Workshop</th>
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</thead>
<tbody>
<tr>
<td>• Local IEP designee presents challenges and opportunities and crowdsources ideas</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Internal Stakeholder Engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Invite your President/Chancellor/Rector, Provost, VPR, government or public affairs colleagues to learn about IEP</td>
</tr>
</tbody>
</table>

FIGURE 1: POTENTIAL CONTENTS FOR THE IEP ANNUAL SUMMIT

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4 See Appendix B. APLU will not share the reflection memos with others. Anyone with concerns about including confidential information in this memo can simply leave those details out.
Five-year Designation Extension Process (and G&I, if applicable)

Every five years from either the institution’s original designation or most recent 5-year Extension Application w/ new Growth & Improvement Plan, the IEP University will apply for an extension of the designation for an additional five years. The objective of the five-year extension process is to reaffirm the institution’s commitment to economic engagement, to ensure that their Growth and Improvement Plan and their economic engagement enterprise is consistent with current conditions and goals, and to ensure that the IEP designation continues to serve as a mark of excellence that distinguishes IEP universities.

Every ten years, an institution will complete the 5-year Extension application along with a new Growth & Improvement Plan as a commitment to continuously improving the institution’s economic engagement efforts.

A two-person panel will assess the extension application against a rubric5 that ensures that the institution has maintained its commitment to economic engagement over the past five years, has appropriately used data to assess its progress, and has a solid plan for deepening that engagement in the coming five years. In the event of a split decision amongst reviewers, a member of the IEP Executive Committee will review and provide a recommendation.

This is not meant to be an arduous process, but one that provides value and an opportunity to reflect on the changing requirements of the IEP designee’s economic engagement enterprise, gather feedback from stakeholders, and chart a course for the next five years. If institutions have participated in the designee community of practice and completed their annual reflection memos, the five-year extension application should require less time to complete.

Applications are to be submitted on Momentive by 2:59 AM Eastern/11:59 PM Pacific on the institution’s respective due date.

A calendar of each institution’s anticipated application submission date can be found in this link and Appendix C.

The redesignation will require the following:

1. Gather data:
   - A synthesis of all annual reflection memos that have been completed (APLU will provide them), highlighting key learnings or patterns/themes over the course of the five years since the designation or extension.
   - Data about changes in the regional economic ecosystem – for example, changes in the key industry clusters, economic challenges facing the industry, etc.
   - Information and evidence (evidence can include project summaries, press releases, or comments from external stakeholders) about how the institution has responded to the ecosystem’s needs, as well as information about internal institutional changes that may have shifted priorities, altered the institution’s economic strengths and opportunities, etc.
   - Information about how the institution has participated in the IEP designee community of practice and how it has benefited.

5 The draft application and evaluation rubric are provided in Appendix A
2. Develop a short (3 to 5 slide or 2-page) presentation or summary to share with internal and external stakeholders. The brief presentation or summary should reflect the following:
   a. Significant changes in the regional economic ecosystem since the designation was received
   b. Information about the institution’s economic engagement performance since designation. For example, you could include some of the following kinds of information:
      i. Talent: alignment of degree and certificate programs with growth and evolution of industry needs
      ii. Innovation: new research areas or partnerships responding to the needs of the regional economic clusters or public sector challenges
      iii. Place: new initiatives to improve the regional quality of life and work with local public and nonprofit community.
   c. Proposed changes to the institution’s Growth and Improvement Plan that might better respond to current conditions

3. Gather stakeholder feedback: Present the information to a group (at least 6) of key (3) internal and (3) external stakeholders. Ask them to validate the data you have collected about changes to the ecosystem and ask for suggestions regarding how the university’s engagement efforts should respond to those changes. Consider how what you’ve learned should affect your growth and improvement plan. Ask at least one key internal stakeholder and one key external stakeholder to write a letter of support including data validation and their suggestions.

4. Fill out the extension application and attach the presentation, summary, or other information presented to stakeholders.

5. Create a new Growth & Improvement Plan (if at 10-year mark): identify three areas of improvement or opportunity identified via the IEP Extension Process and how you plan to address them.

A panel of two reviewers, chosen by APLU, will review the application (these reviewers are recruited by APLU each year for the purpose of reviewing IEP designation applications, IEP awards, and 5-year designation extensions). APLU will screen for potential conflicts of interest and ask the reviewers to verify that they have no conflicts.

The review panel follows an APLU-created rubric (See Appendix A) and submits comments and a recommendation: either 1) Extend the designation, or 2) provisionally extend designation. If provisional, reviewers recommend one or more items that the designee needs to address. The institution commits to address these issues, revise their application and submit it again in 6 months. Once these have been addressed to APLU’s satisfaction, the “provisional” status is no longer applied to the institution’s sustained designation.

After successfully passing the 5-year designation extension, the IEP institution will commit at least one, preferably both, of their campus contacts, to serve as a reviewer for designation, awards, or extension, at least three times over the following three years.
Other 5-Year Extension Application Scenarios

- If an institution submits a 5-Year Extension but the application is not approved – **must revise the application and submit it again in 6 months**
- If an institution does not submit a 5-Year Extension application – **the institution must complete a 5-Year Extension application with a new G&I Plan within 12 months to maintain IEP Designation**
- If the institution does not submit a 5-year Extension with a new G&I Plan within 12 months and does not continue engaging in IEP – **IEP Designation lapses**
  - The institution is moved to “Inactive Status”
  - Institution must submit a new IEP designation application to reinstate IEP membership
Appendix A: IEP 5-year Review and Extension
Proposed Form and Evaluation Rubric

Objectives and Process

The objective of the five-year extension process is to reaffirm the institution’s commitment to economic engagement, to ensure that their Growth and Improvement Plan and their economic engagement enterprise is consistent with current conditions and goals, and to ensure that the IEP designation continues to serve as a mark of excellence that distinguishes IEP universities.

Additionally, completing this process will provide you and other leaders at your institution with new artifacts and tools related to your economic engagement goals and successes. You will be able to use these in communicating with internal and external stakeholders regarding the value of these efforts and initiatives. Before undertaking this effort, consider the key goals that you have for strengthening economic engagement and building key partnerships, both within and outside of the institution. Your review process should, first and foremost, serve the goals of your institution and community.

The process for pursuing the extension is as follows:

1. **Gather data:**
   - A synthesis of all annual reflection memos that have been completed (APLU will provide them), highlighting key learnings or patterns/themes over the course of the five years since the designation.
   - Data about changes in the regional economic ecosystem – for example, changes in the key industry clusters, economic challenges facing the industry, etc.
   - Information and evidence (evidence can include project summaries, press releases, or comments from external stakeholders) about how the institution has responded to the ecosystem’s needs, as well as information about internal institutional changes that may have shifted priorities, altered the institution’s economic strengths and opportunities, etc.
   - Information about how the institution has participated in the IEP designee community of practice and how it has benefited.

2. **Develop a short (3 to 5 slide or 2-page) presentation or summary** that you can share with internal and external stakeholders. Internal stakeholders might include the President/Chancellor/Rector, the Vice President/Chancellor/Rector for Research, the Director of Government Relations, etc. External stakeholders might include the local economic development and regional planning agency, the business association, or other key strategic partners. This is an opportunity to focus on the core elements of your institution’s economic engagement and communicate the value of these to key supporters and stakeholders. Your brief presentation or summary should reflect the following:
   - Significant changes in the regional economic ecosystem since the designation was received
b. Information about the institution’s economic engagement performance since designation. For example, you could include some of the following kinds of information:

i. Talent: alignment of degree and certificate programs with growth and evolution of industry needs

ii. Innovation: new research areas or partnerships responding to the needs of the regional economic clusters or public sector challenges

iii. Place: new initiatives to improve the regional quality of life and work with local public and nonprofit community.

c. Proposed changes to the institution’s Growth and Improvement Plan that might better respond to current conditions

3. **Gather stakeholder feedback:** Present the information to a group (at least 6) of key internal (3) and external (3) stakeholders. Ask them to validate the data you have collected about changes to the ecosystem and ask for suggestions regarding how the university’s engagement efforts should respond to those changes. Consider how what you’ve learned should affect your growth and improvement plan. Ask at least one key internal stakeholder and one key external stakeholder to write a letter of support including data validation and their suggestions.

4. **Fill out the extension application** and attach the presentation, summary, or other information presented to stakeholders.

5. **Create a new Growth & Improvement Plan (if at 10-year mark):** identify three areas of improvement or opportunity identified via the IEP Extension Process and how you plan to address them.

A review panel will assess the extension application against a rubric that ensures that the institution has maintained its commitment to economic engagement over the past five years, has appropriately used data to assess its progress, and has a solid plan for deepening that engagement in the coming five years.

The process described above can do more for you and your institution’s economic engagement efforts than simply help you secure your IEP designation extension. Taking stock and sharing learnings with key stakeholders will undoubtedly lead to new ideas and strategies that will help you strengthen outcomes and build relationships for long-term success. It’s important to undertake the process focused on the opportunity to improve and grow rather than a compliance mindset. The choices you make related to data and the stakeholders you include can help significantly in shaping the process so that it is most beneficial to you.
APPLICATION CONTENTS

Section 1: Synthesis of Key Shifts

If available, use the compiled five years of annual reflection memos to describe shifts in your regional economic engagement landscape since your initial IEP university designation application. (If you don’t have these available just answer the questions as best you can). How do those developments trace back to your initial IEP designation work, if at all? What new opportunities or challenges does your ecosystem and institution face? (About 400 words)

Key Shifts Assessment Rubric – For Reference Only

The institution is taking an active approach to understanding shifts in its economic engagement landscape. It is aware of changes in the regional landscape and how they relate to the institution’s economic engagement plans.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 2: Description of Stakeholder Engagement and Changes to Growth and Improvement Plan
Describe key elements of your stakeholder engagement processes over the past five years and how you engaged stakeholders as part of preparing this application for the five-year extension. Attach any materials, for example, agendas, PowerPoints, or handouts, that supported the engagement. Describe who you engaged, how you engaged them, and how they responded. How does the input you received affect the changes to your growth and improvement plan? (300 to 400 words)

Stakeholder Engagement and Growth and Improvement Plan Assessment Rubric
For Reference Only

The Institution has worked with stakeholders to ground truth to its understanding of recent changes in the regional economic ecosystem. It used stakeholder input to determine how its economic engagement enterprise should respond to these changes and has amended its growth and improvement plan.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 3: Participation in IEP program

Describe highlights of your participation in the IEP program since designation. What activities, meetings, webinars, or other activities have you participated in? What improvement would you suggest for the program? (About 200 to 300 words)

**Participation in IEP Assessment Rubric - For Reference Only**

Institution has regularly participated in the IEP program and is committed to enhancing the IEP community of practice.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 4: Overall Assessment of five years as IEP university:
Describe the key benefits you have derived from earning the IEP designation and participating in the IEP program. Explain why you are interested in extending the designation and continuing to participate (200 to 300 words)

Assessment Rubric - For Reference Only

Institution has a good sense of the benefits of participating in the program and wants to continue to participate.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 5: Growth & Improvement Plan (if at 10-year mark)
Please describe three areas of improvement or opportunity identified via the IEP Extension process and how you plan to address them. Your description for each should be about 500 words. Your growth/improvement plan should be a total of about 1500 to 2000 words, NOT including the summary table as described below.

In developing these descriptions, please consider the following questions, but note that you will not likely have room to answer all of these questions in your 500-word description. These are simply suggested questions for consideration.

- How has your internal and external stakeholder engagement helped your institution determine its areas for growth and improvement?
- What are the main problems or undesirable outcomes these challenges reveal?
- What are the primary opportunities identified during the IEP Extension process?
- What method did you use to identify each area for growth and improvement? What else led you to identify these?
- Do all levels of the institution recognize the need for improvement in these areas?
- What metrics support your assertions and/or desired outcomes?
- What are your plans for addressing these challenges and capturing these opportunities? What would it look like if this improvement plan proves successful? (i.e., how would you know in the future if you have successfully addressed these growth areas?) (This question is addressed by the “Indicator/Measure of Success” column on the summary table.)
- Describe the top three barriers to a successful improvement plan implementation. What are the most important (types of) resources that would need to be deployed to address these? (This question is addressed by the “Resources” column on the summary table.)

Further, note that some of these questions are addressed in the summary table, and since there is no word-count limit for the summary table, you will be able to address these questions on the table. We have indicated which questions are addressed by columns in the table.

Growth and Improvement Plan Table

<table>
<thead>
<tr>
<th>Growth/Improvement Goal</th>
<th>Related Objectives</th>
<th>Activities</th>
<th>Timeline</th>
<th>Resources</th>
<th>Indicator/Measure of Success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 1 (first area for improvement)</td>
<td>Objective 1.1</td>
<td>What activities will be required to meet objective?</td>
<td>What is the target timeline?</td>
<td>What resources—money, people, facilities, etc.—will be required?</td>
<td>How will you know you have successfully met the objective, and goal?</td>
</tr>
<tr>
<td></td>
<td>Objective 1.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Etc.—as many as needed</td>
<td></td>
<td></td>
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<tr>
<td>Goal 2 (second area for improvement)</td>
<td>Objective 2.1</td>
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<tr>
<td></td>
<td>Objective 2.2</td>
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<tr>
<td>Etc.—as many as needed</td>
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<tr>
<td>Goal 3 (third area for improvement)</td>
<td>Objective 3.1</td>
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<tr>
<td></td>
<td>Objective 3.2</td>
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</tbody>
</table>
Reviewer Rubric for Section 5: Growth/Improvement Plan

Please review the Growth/Improvement plan section. Note the following exemplary description of this section:

- The institution has provided clear information about how it determined what its areas for growth and improvement are. In particular, the institution has described how internal and external stakeholder engagement has helped them determine areas for growth and improvement, and has provided clear information about what measures or indicators were used to determine needed growth or improvement.
- The institution has demonstrated that it is fully aware of what will be required to execute its plans to grow and improve. In the details of the growth/improvement table, it is clear that the institution has a complete understanding of the resources and timelines necessary to achieve growth and improvement goals.
- The growth/improvement table represents a complete and thorough understanding of areas for attention—complete information is included in each column, activities are clearly aligned with each growth/improvement goal, and clear and complete information are included about timeline, resources, and measures/indicators of success.

Reviewer response:

- Application *aligns well* with above description
- Application *aligns somewhat* with above description
- Application *does not align* with above description

Reviewer comments (please provide constructive feedback):
### Overall Scoring Summary

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 1: Key Shifts</td>
<td></td>
<td>(How should the institution address the “does not align” areas)</td>
</tr>
<tr>
<td>Section 2: Stakeholder Engagement and Changes to Growth and Improvement Plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 3: Participation in IEP program</td>
<td></td>
<td></td>
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<tr>
<td>Section 4: Overall Assessment of five years as IEP university</td>
<td></td>
<td></td>
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<tr>
<td>Section 5: Growth &amp; Improvement Plan (if at 10-year mark)</td>
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</tbody>
</table>

**Reviewer Overall Assessment Recommendation:**

1. Institution should be granted the five-year extension
2. Institution should be granted a provisional extension. Areas that they should address include the following:
Appendix B
Draft Template for Annual Reflection Memo

Instructions:
The purpose of this memo is to document your experience in economic engagement over the past year and to provide a record that will help you apply for the five-year designation extension, and to provide information that can be used by other staff who may need this information in the future. The memo need not be long. 2 to 3 pages may be enough if they serve your needs to document and reflect upon your experience.

NOTE: APLU will not share this information with anyone else. APLU will collect this information for the sole purpose of providing it to you to support your five-year review process.

Consider the following questions:

1. What were your economic engagement goals at the start of the year?

2. What important changes in the leadership of the university have affected the economic engagement enterprise?

3. What changes to the regional economic ecosystem have occurred? Do they create a need for changes in your economic enterprise goals or practices?

4. Have any other changes to background conditions, resources, or priorities occurred that might call for an update to the growth and improvement plan?

5. What progress have you made toward the goals identified at the start of the year?

6. What goals do you have for next year?
Appendix C

Ramp up and timing for 5-year Extension and 5-year Extension w/ new G&I

Because we are proposing this new process at a time when many institutions have surpassed their five-year mark without applying for the five-year extension, and others have received their five-year extension, we propose the following ramp-up process. We will invite those needing their five-year extension to sign up for one of the available months where applicable. This will help us to prepare by recruiting a sufficient number of reviewers.

5-year Designation Extension

Designee Service as reviewer. After successfully passing the 5-year designation extension, at least one, preferably both, of the campus contacts will serve as a reviewer for designation, awards, or extension, at least three times over the following three years. The reviewer will be assigned between 3 and 7 applications to review in each instance.

Five-Year Extension Ramp-up schedule

<table>
<thead>
<tr>
<th>Designation year</th>
<th>Number of designees needing 5-year extension</th>
<th>Proposed timeline for application deadline</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>11</td>
<td>6 on June 29, 2023</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5 on July 31, 2023</td>
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<tr>
<td>2015</td>
<td>18</td>
<td>9 on August 31, 2023</td>
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<td>9 on September 28, 2023</td>
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<td>2016</td>
<td>7</td>
<td>October 31, 2023</td>
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<td>2019</td>
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<td>December 6, 2024</td>
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<td>2020</td>
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<td>2021</td>
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<td>December 4, 2026</td>
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<td>2022</td>
<td>9</td>
<td>December 3, 2027</td>
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<tr>
<td>2023</td>
<td>TBD</td>
<td>December 1, 2028</td>
<td></td>
</tr>
</tbody>
</table>

Ramp-up process amendments

Designees completing the five-year review over the next few years will not have five years of annual reflection memos to provide input to their five-year extension, the reviewers will not expect that they will have them. They will use as many annual reflection memos as are available, in addition to the other inputs described in the application.
### Five-Year Extension with new Growth & Improvement Plan Ramp-Up Schedule

<table>
<thead>
<tr>
<th>Designation year</th>
<th>Number of designees needing 5-Year and G&amp;I</th>
<th>Proposed timeline for application deadline (tentative)</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013</td>
<td>3 (will be individually contacted)</td>
<td>December 6, 2024</td>
<td>Designees who did not complete a 5-Year Extension must submit an Extension application w/ a new G&amp;I plan by this date</td>
</tr>
<tr>
<td>2013</td>
<td>12</td>
<td>December 5, 2025</td>
<td>Designees who were notified in 2020 of their successful 5-Year Extension will submit their next Extension w/ G&amp;I plan by this date</td>
</tr>
<tr>
<td>2014</td>
<td>14</td>
<td>December 4, 2026</td>
<td></td>
</tr>
<tr>
<td>2015</td>
<td>18</td>
<td>December 3, 2027</td>
<td></td>
</tr>
<tr>
<td>2016</td>
<td>7</td>
<td>December 1, 2028</td>
<td>Class of 2016 and 2017 have the same submission deadline</td>
</tr>
<tr>
<td>2017</td>
<td>3</td>
<td>December 1, 2028</td>
<td>Class of 2016 and 2017 have the same submission deadline</td>
</tr>
<tr>
<td>2018</td>
<td>6</td>
<td>December 7, 2029</td>
<td>Class of 2018 and 2019 will have the same submission deadline</td>
</tr>
<tr>
<td>2019</td>
<td>3</td>
<td>December 7, 2029</td>
<td>Class of 2018 and 2019 will have the same submission deadline</td>
</tr>
<tr>
<td>2020</td>
<td>3</td>
<td>December 6, 2030</td>
<td></td>
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<tr>
<td>2021</td>
<td>2</td>
<td>December 5, 2031</td>
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<tr>
<td>2022</td>
<td>9</td>
<td>December 3, 2032</td>
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<tr>
<td>2023</td>
<td>TBD</td>
<td>December 2, 2033</td>
<td></td>
</tr>
</tbody>
</table>

Designees completing the 5-Year Extension w/ Growth & Improvement plan during the initial ramp-up years will have a condensed timeline from their initial 5-Year Extension to the 5-Year with G&I. It is expected that these institutions will not have 5 additional years of annual memos to provide input into the 5-Year with G&I application, and the reviewers will not expect that they will have them. Applicants will use as many annual reflection memos as are available, in addition to the other inputs described in the application.
Appendix D: IEP 5-year Review and Extension

SAMPLE APPLICATION

Utopia University

Objectives and Process

The objective of the five-year extension process is to reaffirm the institution’s commitment to economic engagement, to ensure that their Growth and Improvement Plan and their economic engagement enterprise is consistent with current conditions and goals, and to ensure that the IEP designation continues to serve as a mark of excellence that distinguishes IEP universities.

Additionally, completing this process will provide you and other leaders at your institution with new artifacts and tools related to your economic engagement goals and successes. You will be able to use these in communicating with internal and external stakeholders regarding the value of these efforts and initiatives. Before undertaking this effort, consider the key goals that you have for strengthening economic engagement and building key partnerships, both within and outside of the institution. Your review process should, first and foremost, serve the goals of your institution and community.

The process for pursuing the extension is as follows:

1. Gather data:
   - A synthesis of all annual reflection memos that have been completed (APLU will provide them), highlighting key learnings or patterns/themes over the course of the five years since the designation or most recent extension.
   - Data about changes in the regional economic ecosystem – for example, changes in the key industry clusters, economic challenges facing the industry, etc.
   - Information and evidence (evidence can include project summaries, press releases, or comments from external stakeholders) about how the institution has responded to the ecosystem’s needs, as well as information about internal institutional changes that may have shifted priorities, altered the institution’s economic strengths and opportunities, etc.
   - Information about how the institution has participated in the IEP designee community of practice and how it has benefited.

2. Develop a short (3 to 5 slide) presentation or two-page summary that you can share with internal and external stakeholders. Internal stakeholders might include the President, the Vice President for Research, the Director of Government Relations, etc. External stakeholders might include the local economic development and regional planning agency, the business association, or other key strategic partners. This is an opportunity to focus on the core elements of your institution’s economic engagement and communicate the value of these to key supporters and stakeholders. Your brief presentation or summary should reflect the following:
   a. Significant changes in the regional economic ecosystem since the designation was received
b. Information about the institution’s economic engagement performance since designation. For example, you could include some of the following kinds of information:
   i. Talent: alignment of degree and certificate programs with growth and evolution of industry needs
   ii. Innovation: new research areas or partnerships responding to the needs of the regional economic clusters or public sector challenges
   iii. Place: new initiatives to improve the regional quality of life and work with local public and nonprofit community.

3. **Gather stakeholder feedback:** Present the information to a group (at least 6) of key internal (3) and external (3) stakeholders. Ask them to validate the data you have collected about changes to the ecosystem and ask for suggestions regarding how the university’s engagement efforts should respond to those changes. Consider how what you’ve learned should affect your growth and improvement plan. Ask at least one key internal stakeholder and one key external stakeholder to write a letter of support including data validation and their suggestions.

4. **Fill out the extension application** and attach the revised presentation, summary or other information presented to stakeholders.

5. **Create a new Growth & Improvement Plan (if at 10-year mark):** identify three areas of improvement or opportunity identified via the IEP Extension Process and how you plan to address them.

A review panel will assess the extension application against a rubric that ensures that the institution has maintained its commitment to economic engagement over the past five years, has appropriately used data to assess its progress, and has a solid plan for deepening that engagement in the coming five years.

The process described above can do a lot more for you and your institution’s economic engagement efforts than simply help you secure your IEP designation extension. Taking stock and sharing learnings with key stakeholders will undoubtedly lead to new ideas and strategies that will help you strengthen outcomes and build relationships for long-term success. It’s important to undertake the process focused on the opportunity to improve and grow rather than a compliance mindset. The choices you make related to data and the stakeholders you include can help significantly in shaping the process so that it is most beneficial to you.

**APPLICATION CONTENTS**

**Section 1: Synthesis of Key Shifts**

If available, use the compiled five years of annual reflection memos to describe shifts in your regional economic engagement landscape since your initial IEP university designation application. (*If you don’t have any of those available don’t worry. Just answer the questions as best you can.*) How do those developments trace back to your initial IEP designation work, if at all? What new opportunities or challenges does your ecosystem and institution face? (About 400 words)

*We were originally designated in 2019 and therefore don’t have reflection memos to work with. However, there have been some important internal and external changes over the past five years:*
External

Regional Economy:

- The region continues to lose manufacturing jobs and increase employment in the services sector. One exception to this is in medical device manufacturing, which has grown about 10 percent over the past five years. This growth is tied, in part, to some of the research that has come out of the university and generated startups in this area.
- Another bright spot is in cleantech. Venture capital going to this industry has greatly expanded in our region, and several spin-offs from local energy companies and startups from the university have fueled this growth.
- The region has recovered well from the pandemic and unemployment is down to 4 percent overall.
- However, the labor market is still very tight, and employers are reporting difficulty finding workers in construction, financial services, retail, and software engineering.
- Average wages have risen from about 50,000 to 2015 to about 55,000 in 2020.

Regional Demographics:

- Over the past five years, the population has grown about 6 percent. This is driven, in part, by in-migration—both domestic and international.
- The percentage of people of color in our region has increased from 25 percent in 2015 to 36 percent in 2020. Our largest non-white demographic group is Hispanic or Latino.
- Our population is aging; the percentage of the population 65 and over has increased from 11 percent to 14 percent.

Internal shifts:

Changes in enrollment: The demographics of our students have changed a great deal over the past five years. Highlights of this shift are:

- Enrollment has grown, but most of the growth is in part-time students.
- Average age at first enrollment has increased from 20 to 23
- Most of our students are now working at least part time.
- The percentage of students who identify as white has fallen from 68 percent to 57 percent
- The percentage of students who are parents has risen from 25 percent to 35 percent.
- The percentage of transfer students has jumped from 28 percent to 39 percent.
- The colleges experiencing the greatest growth include biomedical engineering, computer science, nursing, and environmental science.

Shifts in Strategic Priorities: Many changes in leadership have occurred and some are still playing out.

- We have a new president, a new vice president for research, and a new vice provost for engagement.
- All these leaders are supportive of the economic engagement commitment; however, there have been some changes in emphasis.
- For example, our president is generating a new strategic plan, and although engagement is still a priority, technology based economic development has been de-emphasized in the plan. This has put our plans for an innovation district on hold.

**Engaged learning:**

- The emphasis on engaged learning as a part of student success has led to the development of senior capstone classes in most colleges that involve an engaged learning component.
- For example, the geography department has a senior capstone that involves students working with local nonprofits to use GIS to help communicate their community’s challenges.
- Other departments have developed other kinds of partnerships. Some of these are described below.

**Research:**

- Our research expenditures continue to grow from about 300 million in 2015 to 350 million in 2020.
- The strongest increases in research are in artificial intelligence and infectious disease.
- The growth in infectious disease research is a reflection, in part, of a key strategic change in our G&I plan. Our new vice president for research will collaborate with the provost, the dean of Public Health, and the dean of the medical school to put a new emphasis on global health. They initiated a cluster hire in global health. This cluster hire reflects the shifts in our local economy into biopharma, with significant venture funding going to startups in this field.

### Key Shifts Assessment Rubric – For Reference Only

Institution is taking an active approach to understanding shifts in its economic engagement landscape. It is aware of changes in the regional landscape and how they relate to the institution’s economic engagement plans.

- Application aligns well with above description
- Application aligns somewhat with above description
- Application does not align with above description
Section 2: Description of Stakeholder Engagement and Changes to Growth and Improvement Plan

Describe key elements of your stakeholder engagement processes over the past five years and how you engaged stakeholders as part of preparing this application for the five-year extension. Attach any materials, for example, agendas, PowerPoints, or handouts, that supported the engagement. Describe who you engaged, how you engaged them, and how they responded. How does the input you received affect the changes to your growth and improvement plan? (300 to 400 words)

- The Office of Economic Development has an advisory committee that meets semi-annually.
- Each college and many of the research centers also have advisory committees that they meet with periodically.
- For the five-year review, we supplemented the economic engagement advisory committee with a few other stakeholders to add diversity to the group, adding both nonprofit and local government representatives. The total group was eight people.

- We examined trends in the local economy and then asked the eight stakeholders from key industry clusters to attend a breakfast meeting.

- We presented the attached PowerPoint and asked them to verify the trends that we observed in regional economy and population. We then engaged them in a conversation about how the university should respond to these changes in four key areas:
  - Work-ready skills development.
  - Research alignment to support growing industries; and
  - Partnerships to improve quality of life.

The conversation was wide ranging, but generally the conclusions were as follows:

- Our strategic partners have hired many of our alumni and will continue to do so. The graduates are generally well prepared for the world of work, partially because these strategic partners participate in internship and coop programs and often volunteer to speak to classes about important issues in their industries

- The local banking, insurance, and real estate, and health care industries would like to see a greater number of graduates with data and business analytic skills. There is an acute shortage in this area, and they must hire from other universities, but they would rather hire locally. Health care administration is another area where they are having trouble finding people who understand the industry.

- The United Way noted that they have had students working on capstone projects in nonprofits that they fund and that have had mixed results. They’d like to reexamine that program to see how the students and the nonprofit partners might get more out of these projects.

- The representative from the biopharmaceutical industry association noted that the increase in venture capital in this area has led to growth, but it won’t really take off until the some of the most recent startups meet their key milestones over the next couple of years. At that point, these companies will enter a high growth phase and there will be a big demand for biochemistry and biological engineering graduates. They will also be pursuing partnerships with the university to develop the data required to bring their new drugs and devices through FDA approval.

- The cleantech industry is looking to partner in developing and testing new carbon negative industrial chemicals.
The City would like the university to consider work with them on the renewal of the university district plan.

The conversation has prompted us to reexamine our growth and improvement plan to see if there are changes that can respond to the trends we observed and the issues they point to.

We would like to make the following changes:

- As we mentioned, our plans for an innovation district are on hold, so we don’t expect to make much progress on that over the next few years.
- We will look at the capstone agreement templates to ensure alignment between learning objectives for those capstones and the goals of the community partners. We will also develop new report templates to report the results of those projects. These will be translated into news releases that will be posted on our web site.
- We will look at the business school business analytics curriculum and see if these courses can be offered in professional and containing education to allow those with degrees in other majors to add data analytics to their skill set.

<table>
<thead>
<tr>
<th>Stakeholder engagement and growth and improvement plan Assessment Rubric</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Reference Only</td>
</tr>
</tbody>
</table>

The Institution has worked with stakeholders to ground truth its understanding of recent changes in the regional economic ecosystem. It used stakeholder input to determine how its economic engagement enterprise should respond to these changes and has amended its growth and improvement plan.

- Application aligns well with above description
- Application aligns somewhat with above description
- Application does not align with above description
Section 3: Participation in IEP program
Describe highlights of your participation in the IEP program since designation. What activities, meetings, webinars, or other activities have you participated in? What improvement would you suggest for the program? (About 200 to 300 words)

- At least one campus contact has attended the IEP summit each year.
- In most of the past five years we have also participated in one of the affinity groups.
- We found the affinity group on communication of economic impact to be very useful because it provided us good examples of how other universities have developed comprehensive summaries of how their university is affecting the regional economy and using effective stories to do so.
- We also participated in the Diversifying Economic Engagement affinity group.
- We used this group to design our student engagement program, which allows students from a variety of majors to earn a stipend as they participate in regional civic groups addressing issues related to economic development – for example, housing, entrepreneurship, and regional planning.
- We had struggled to attract students of color into the program, and our discussions with other institutions were helpful.
- In 2021 we participated in an IEP startup webinar about using local data to identify areas for growth and improvement. Also, that year, we served as a reviewer for the IEP awards.
- In 2022, we wrote a blog post about how we have responded to the research and workforce needs of the biopharma industry in our region.
- Last year, we nominated our president to speak at the presidential panel for the CECE summer meeting, however, it turned out that the timing did not work.

Participation in IEP Assessment Rubric - For Reference Only

Institution has regularly participated in the IEP program and is committed to enhancing the IEP community of practice.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 4: Overall Assessment of five years as IEP university:
Describe the key benefits you have derived from earning the IEP designation and participating in the IEP program. Explain why you are interested in extending the designation and continuing to participate (200 to 300 words)

- The key benefit for us in participating in IEP is using the designation to communicate to stakeholders our commitment to economic engagement. We use the IEP logo on the Office of Economic Development’s website, and we place it on press releases about important projects.

- As mentioned above, we also have benefitted from the regular conversations with affinity groups, although some years have been better than others.

- The IEP summits have been a great networking tool and I have leveraged contacts from the summit on several occasions—for example, when the new president was hired I reached out to an economic development person at his former institution to gain an understanding of his perspective on economic engagement.

- Maintaining the designation is important to us because we see it as a differentiator with a few of the other high education institutions in the region. As a public research university, we are a key asset to the regional economy, and we want to be sure that our stakeholders don’t lose sight of that. We want to be at the table when decisions are being made about investments in infrastructure, how that infrastructure is paid for, and the regional environment that affects businesses and quality of life.

- Maintaining and advertising the designation keeps our commitment front and center and encourages our stakeholders to invite us to those conversations.

Assessment Rubric - For Reference Only

Institution has a good sense of the benefits of participating in the program and wants to continue to participate.

☐ Application aligns well with above description
☐ Application aligns somewhat with above description
☐ Application does not align with above description
Section 5: Growth & Improvement Plan (if at 10-year mark) – *Review your institution’s prior G&I plan for example*

Please describe three areas of improvement or opportunity identified via the IEP Extension process and how you plan to address them. Your description for each should be about 500 words. Your growth/improvement plan should be a total of about 1500 to 2000 words, NOT including the summary table as described below.

In developing these descriptions, please consider the following questions, but note that you will not likely have room to answer all of these questions in your 500-word description. These are simply suggested questions for consideration.

- How has your internal and external stakeholder engagement helped your institution determine its areas for growth and improvement?
- What are the main problems or undesirable outcomes these challenges reveal?
- What are the primary opportunities identified during the IEP Extension process?
- What method did you use to identify each area for growth and improvement? What else led you to identify these?
- Do all levels of the institution recognize the need for improvement in these areas?
- What metrics support your assertions and/or desired outcomes?
- What are your plans for addressing these challenges and capturing these opportunities? What would it look like if this improvement plan proves successful? (i.e., how would you know in the future if you have successfully addressed these growth areas?) (This question is addressed by the “Indicator/Measure of Success” column on the summary table.)
- Describe the top three barriers to a successful improvement plan implementation. What are the most important (types of) resources that would need to be deployed to address these? (This question is addressed by the “Resources” column on the summary table.)

Further, note that some of these questions are addressed in the summary table, and since there is no word-count limit for the summary table, you will be able to address these questions on the table. We have indicated which questions are addressed by columns in the table.

**Growth and Improvement Plan Table**

<table>
<thead>
<tr>
<th>Growth/Improvement Goal</th>
<th>Related Objectives</th>
<th>Activities</th>
<th>Timeline</th>
<th>Resources</th>
<th>Indicator/Measure of Success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 1 (first area for improvement)</td>
<td>Objective 1.1</td>
<td>What activities will be required to meet objective?</td>
<td>What is the target timeline?</td>
<td>What resources—money, people, facilities, etc.—will be required?</td>
<td>How will you know you have successfully met the objective, and goal?</td>
</tr>
<tr>
<td></td>
<td>Objective 1.2</td>
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<td>Etc.—as many as needed</td>
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<td>Goal 2 (second area for improvement)</td>
<td>Objective 2.1</td>
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<tr>
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<td>Objective 2.2</td>
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<tr>
<td></td>
<td>Etc.—as many as needed</td>
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<tr>
<td>Goal 3 (third area for improvement)</td>
<td>Objective 3.1</td>
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<tr>
<td></td>
<td>Objective 3.2</td>
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</tbody>
</table>
Reviewer Rubric for Section 5: Growth/Improvement Plan

Please review the Growth/Improvement plan section. Note the following exemplary description of this section:

- The institution has provided clear information about how it determined what its areas for growth and improvement are. In particular, the institution has described how internal and external stakeholder engagement has helped them determine areas for growth and improvement, and has provided clear information about what measures or indicators were used to determine needed growth or improvement.
- The institution has demonstrated that it is fully aware of what will be required to execute its plans to grow and improve. In the details of the growth/improvement table, it is clear that the institution has a complete understanding of the resources and timelines necessary to achieve growth and improvement goals.
- The growth/improvement table represents a complete and thorough understanding of areas for attention—complete information is included in each column, activities are clearly aligned with each growth/improvement goal, and clear and complete information are included about timeline, resources, and measures/indicators of success.

Reviewer response:

- Application aligns well with above description
- Application aligns somewhat with above description
- Application does not align with above description

Reviewer comments (please provide constructive feedback):
## Overall Scoring Summary

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 1: Key Shifts</td>
<td></td>
<td></td>
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<tr>
<td>Section 2: Stakeholder Engagement and Changes to Growth and Improvement Plan</td>
<td></td>
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<tr>
<td>Section 3: Participation in IEP program</td>
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<tr>
<td>Section 4: Overall Assessment of five years as IEP university:</td>
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<tr>
<td>Section 5: Growth &amp; Improvement Plan (if at 10-year mark)</td>
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</tbody>
</table>

**Reviewer Overall Assessment Recommendation:**

1. Institution should be granted the five-year extension
2. Institution should be granted a provisional extension. Areas that they should address include the following: