Assurance Argument

University of Minnesota Duluth - MN

3/16/2018

1 - Mission

The institution's mission is clear and articulated publicly; it guides the institution's operations.

1.A - Core Component 1.A

The institution's mission is broadly understood within the institution and guides its operations.

1. The mission statement is developed through a process suited to the nature and culture of the institution and is adopted by the governing board.
2. The institution's academic programs, student support services, and enrollment profile are consistent with its stated mission.
3. The institution's planning and budgeting priorities align with and support the mission. (This sub-component may be addressed by reference to the response to Criterion 5.C.1.)

Argument

1.A.1. Current mission statement: The University of Minnesota Duluth (UMD) integrates liberal education, research, creative activity, and public engagement and prepares students to thrive as lifelong learners and globally engaged citizens.

The mission statement was last updated in 2011 during a campus-wide Strategic Planning initiative, which also involved specifying the campus vision, values, and strategic goals. The 35-member Steering Committee leading the Strategic Planning initiative was comprised of representatives from all primary campus stakeholders (faculty, staff, students, and administrators) and from all campus divisions (Chancellor units, Academic Affairs and collegiate units, Finance and Operations, and Student Life).

The Mission Statement Subcommittee prepared an updated mission statement for the Steering Committee and Chancellor Black to review prior to collecting campus-wide input through online forms and campus forums (process). In April 2011, Campus Assembly (the members of campus shared governance committees) endorsed the updated mission and new Strategic Plan (minutes). Chancellor Black approved the Strategic Plan in May 2011 and presented the information to the University of Minnesota Board of Regents in February 2012 (agenda; docket; minutes).

The strategic planning and implementation processes were collaborative and inclusive of all campus constituents, thereby reflecting the values and principles guiding the planning process. A wide range of campus members participated on the Integrated Strategic Advisory Team (implementation process and team members). Additional faculty and staff sought grants for strategic goal projects to positively impact students and community members.

The Strategic Plan is being updated during the 2017-18 academic year, integrating critical reflection and continuous improvement activities documented within UMD's Quality Initiative. The 2017-18 planning process incorporates positive aspects of the 2011 process, such as campus-wide involvement, and improves upon components cited as weaknesses and opportunities within the Quality Initiative, such as developing measures during the planning process. Upon the

recommendation of the Executive Vice Chancellor for Academic Affairs (EVCAA), the mission statement developed in 2011 was not considered within the update; focus was placed on evaluation and revision of the vision, values, goals, initiatives, and measures.

The update process began Spring 2017 with a faculty and staff survey asking questions about the strategic goals' perceived relevance (results) and the 2011 Strategic Plan's strengths, gaps/weaknesses, and vision for the next five years. Second, a small, representative team of faculty and staff developed a SWOT analysis. Third, faculty and staff who attended campus-wide town hall forums brainstormed future-oriented vision and goal ideas (town hall summary).

During Fall 2017 the Chancellor and Vice Chancellors reviewed campus input and presented an initial draft of the updated Strategic Plan to the Strategic Planning and Budget (SPB) Committee for input (October 2, 2017 minutes). Subsequent drafts were reviewed by SPB as well as the Chancellor's Leadership Council, Council of Deans and Academic Administrators, the Council of Student Life Directors, the UMD Student Association, Faculty Senate, and the Chancellor's Advisory Board. Based on campus constituency input, the Chancellor approved the revised vision, values, and goals in December 2017 to set the foundation for developing initiatives and measures during Spring 2018. The groups asked for input to develop initiatives thus far include the Chancellor's Leadership Council, Council of Deans and Academic Administrators, Council of Student Life Directors, UMD governance committees and subcommittees, and the Campus Change Team. As initiatives are developed, measures will be determined so that data can be collected and communicated Fall 2018.

1.A.2. The mission and vision communicate UMD is a premier comprehensive university with a land-grant purpose within the Northeast Minnesota/Lake Superior region, representing an integral part of the University of Minnesota System. Through division-, college/unit-, and department-specific missions and strategic plans, all undergraduate and graduate programs are expected to demonstrate alignment with the University's strategic directions.

As of Fall 2017, the UMD Catalog listed 99 undergraduate majors (49 have a related minor), 29 free-standing undergraduate minors, 5 undergraduate certificates, and 62 graduate programs (note: Catalog information recognizes students may be enrolled in a discontinued program). Of the graduate programs listed, UMD's colleges and departments own the Ed.D. program, 29 Master's programs, and 5 post-baccalaureate certificates. UMD coursework contributes to two System-wide Ph.D. programs and one System-wide Master's degree. By offering a broad array of academic programs, UMD draws a relatively diverse student body that requires a similarly diverse set of student support services.

UMD's Fall 2017 enrollment profile data shows 11,168 total students; 22.8 percent self-identified as a member of an underrepresented race/ethnic group, 52 percent are male, 84.9 percent are from Minnesota, and 82.4 percent are undergraduates. Among the new high school student cohort, 85.5 percent are under age 19, 14.8 percent are members of an underrepresented race/ethnic group, 49 percent are male, and the average composite ACT score is 24.1. The Strategic Enrollment Management (SEM) Subcommittee (previously known as a council) plays an essential role in shaping UMD's enrollment profile to be consistent with a regional public and comprehensive institution's mission (guiding principles).

UMD requires completion of the Liberal Education Program for undergraduate degree programs, as stated in the mission. Integrating liberal education prepares individuals "to lead productive and socially responsible lives in a diverse and rapidly changing world." The Liberal Education Program requirements include courses in communication (written and oral), logic/quantitative reasoning,

natural sciences, social sciences, humanities, and arts, as well as special topics including cultural diversity within the U.S., global perspectives, and sustainability.

Undergraduate students may complete additional academic-oriented, co-curricular programs to supplement their chosen fields of study. Campus-wide programs include University Honors and the Kirby Leadership Program, while some colleges offer additional programs (examples: College of Liberal Arts Alworth Institute Passport; Labovitz School of Business and Economics Passport to Professional Success).

Students can participate in various academic-oriented activities, such as competitions related to majors and student organizations (examples: Clean Snowmobile Challenge, Formula Society of Automotive Engineers), theatre performances (example: Stage 2 Theatre Company), or music ensembles.

Additionally, undergraduate students may engage in high impact co-curricular programs, including the Undergraduate Research Opportunity Program (UROP), in which a student completes a research project under the direction of a faculty advisor; Study Abroad Programs; and credit-bearing internships/practica/clinical placements.

Students utilize support services for academic and personal needs. Academically, students have full access to the Securian Learning Commons, which includes the Math Lab for students in beginning math courses and the Academic Writing and Learning Center that provides tutoring for various courses as well as the Writers' Workshop. Students may also enroll in academic, developmental skills courses through the Supportive Services Program. These academic support services may be identified in the UMD Seminar course, through new student enrollment, and by academic advisors.

Academic advising is provided within the five colleges by both professional advising staff and the faculty. The International Student Services office provides international students with academic, immigration, and personal advising services and offers programs to help students connect to UMD and the Duluth community. The Office of Diversity and Inclusion (formerly known as the Office of Cultural Diversity) provides student advising and tutoring as well as other programs and services to support the retention and graduation of underrepresented students. Student-athletes receive academic advising to ensure compliance with NCAA and UMD Athletic Eligibility Rules.

Students may obtain education about student loans, debt, credit, spending, and identity theft protection through UMD's Live Like A Student (LLAS) advising program, which also offers financial information to alumni. Options within LLAS include assistance from a Financial Literacy Educator to create spending and savings plans and coaching from trained Financial Peer Mentors. In addition, the Veterans Resource Center provides financial counseling and information to veterans, service members, and their families.

Student support services operated through Student Life (i.e., student affairs) include:

- Health Services: the on-campus health and wellness facility for students' physical and mental health care
- Recreational Sports Outdoor Program: gym facilities, fitness, and outdoor recreational programs on- and off-campus
- Disability Resources: access and accommodations coordination for students with disabilities
- Career and Internship Services: career assessment and job search services for students and alumni
- Kirby Student Center: the main student union area on campus and central office location for

student organizations, including UMD Student Association, Kirby Program Board, Greek Life, and The Bark (campus newspaper) as well as the Safewalk Escort service (available Sunday-Thursday in Kirby Student Center and Friday-Saturday through Transportation and Parking Services)
- Diversity and Inclusion: location for the Multicultural Center and student support and programming to various affinity groups
- Office of Student Life: the location for the UMD Student Care Team, Champ's Cupboard (free food shelf for students), and Champ's Closet (donated professional attire for students)

1.A.3. Strategic Plan grants funded many action steps specified within the 2011 Strategic Plan as well as faculty- and/or staff-led projects aligned with the strategic goals.

Examples of plans implemented to support the mission and strategic priorities include:

- Advancing support for teaching and learning: Center for Excellence in Teaching and Learning created; Writers' Workshop and Tutoring Center expanded
- Aligning shared governance to campus needs/priorities: UMD Constitution and Bylaws updated to create new or revised committees (Strategic Planning and Budget Committee, Teaching and Learning Committee, Assessment Subcommittee, Research and Scholarship Committee) and integrate existing committees into governance (Graduate Council, Strategic Enrollment Management Council)
- Implementing administrative unit planning and budget processes to align their support roles with the campus mission and strategic goals: Vice Chancellor for Finance and Operations Unit; Student Life units (example: Dining Services goals mapped to UMD and Student Life strategic plans)

Periodic updates summarize additional campus accomplishments aligning with the strategic goals: 2011-2013; 2014-2017.

Beginning fiscal year 2012, UMD's budget was negatively impacted due to declining enrollment coupled with stagnant or declining state allocations. The institution's planning and budgeting priorities maintained alignment with the campus mission through Program Prioritization, conducted in 2013-14 for all academic programs and academic support and services programs (administrative and service units). The process generated a plan for reallocations that minimized academic impacts as well as a formalized process of campus-wide financial planning to reduce the deficit.

The mission remains at the center of administrative decisions as new challenges arise. For example, the proposal for resolving budget deficits in 2016 stated, "UMD has a significant structural budget deficit that must be systematically addressed within the context of the campus Strategic Plan and our shared governance system." See Core Component 5.C.1. for details regarding strategic priorities, planning, and budget.

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- Campus Assembly - Minutes - 4-26-2011 Meeting
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- One Stop - Veterans Resource Center
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- Program Prioritization - 2013 - Overview Support Programs
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- Quality Initiative Report for HLC Open Pathway - 2017
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- SCSE - Formula Society of Automotive Engineers - About Us
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- Student Life - Departmental Strategic Plans
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- Study Abroad - Types of Programs
- Supportive Services Program - Courses
- The Bark - Online Version - November 2, 2017
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- UMD Greek Life
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- UMD Student Association - Home Page
- Undergraduate Research Opportunities Program - Overview.pdf
- University Honors Program - Website
- Writers Workshop - About
- Writers Workshop - Student FAQ

1.B - Core Component 1.B

The mission is articulated publicly.

1. The institution clearly articulates its mission through one or more public documents, such as statements of purpose, vision, values, goals, plans, or institutional priorities.
2. The mission document or documents are current and explain the extent of the institution's emphasis on the various aspects of its mission, such as instruction, scholarship, research, application of research, creative works, clinical service, public service, economic development, and religious or cultural purpose.
3. The mission document or documents identify the nature, scope, and intended constituents of the higher education programs and services the institution provides.

Argument

1.B.1. UMD regularly and publicly articulates the institution's mission statement in a variety of formats and messages. The Mission and Values main menu page on the "About UMD" website (a link provided in the UMD homepage top banner) presents the mission statement, vision, and core values and provides a link to the Strategic Planning website. The Strategic Planning website includes these items in addition to institutional goals, plan development, initiatives, and progress/reports.

Chancellor Black's communications frequently reference mission, vision, and/or goals. For example, he emphasized being "mission-driven" in a June 2013 email message to campus that introduced the Program Prioritization process and in the Fall 2013 welcome speech to faculty and staff that highlighted strategic goal activities. An email dated December 2015, emphasized the importance of campus Goal 2, to create a positive and inclusive campus climate for all by advancing equity, diversity, and social justice. A March 2016 email to the campus included UMD core values and their descriptions from the Strategic Plan.

The mission statement is presented in the UMD Catalog under Information and Policies and on the Assessment of Student Learning website with the campus student learning goals and learning outcomes. The EVCAA included the mission statement in a message to parents January 2017. All internal news stories include the mission statement (example: October 2013 news story), and news releases from collegiate units commonly include the mission statement (example: School of Fine Arts news release).

Prominently displayed posters throughout campus hallways, bulletin boards, windows, and billboards communicate UMD values and elements of the mission (Fall 2017 examples: Poster 1, Poster 2, Outdoor Display).

The five collegiate units' mission statements relate directly back to the campus's mission, values, and strategic goals and are articulated publicly: College of Education and Human Service Professions, College of Liberal Arts, Labovitz School of Business and Economics, School of Fine Arts, Swenson College of Science and Engineering. Additionally, the UMD Internationalization Initiative mission, vision, and goals adopted the campus strategic framework. UMD's mission and strategic goals are also evident within administrative support units (examples: Finance and Operations, Student Life).

1.B.2. As described in Subcomponent 1.A.1., UMD's Strategic Plan is being updated during 2017-18 based on a current SWOT analysis and input from the campus community. The update maintains the foci specified within the 2011 version and will incorporate informed and timely objectives for moving the campus forward.

Changes within the update reflect what UMD learned by completing the Quality Initiative. For example, "learning" as a campus core value was revised in 2017-18 to articulate UMD's transformation into a learning organization consistent with critical reflection and continuous improvement. The updated vision statement establishes a future-oriented direction to meet the needs of multiple stakeholders (described in Subcomponent 1.B.3.). Revisions to the goal statements, shown below, are intended to provide clarity to areas of emphasis.

- Goal 1: Provide student-centered, high-quality curricular, co-curricular, and integrated living-learning undergraduate experiences focused on serving the Northland, Minnesota, the Midwest, and connecting to the world.
- Goal 2: Advance equity, diversity, inclusiveness, and social justice within the campus community.
- Goal 3: Deliver high-quality graduate-degree programs to foster students' advanced academic and professional development.
- Goal 4: Advance UMD's regional, national, and international reputation for high-quality and impactful research, scholarly, and creative activities.
- Goal 5: Advance UMD's profile as an intentional and pivotal partner for Duluth, the Northland, and Minnesota.
- Goal 6: Establish and maintain effective and sustainable operations across all areas of the institution.

1.B.3. The updated Strategic Plan clearly identifies the nature, scope, and intended constituents served by UMD's programs and services.

UMD's academic programs and services center on undergraduate and graduate (Master's degree) students. As a comprehensive, regional institution, populations served are primarily within the Northland (the immediate region), Minnesota, and the Midwest. Additionally, the institution recognizes the importance of capabilities to attract students from all areas of the world.

Regional, national, and international connections are also specified for research and creative activity, which primarily impact faculty. Such broad ties draw more diverse faculty, staff, and student body populations, enhancing the learning environment and promoting global engagement. Creating a more diverse campus requires a variety of support processes, such as those described in Core Component 1.C., to foster inclusivity, equity, and social justice, which impact all who learn and work at UMD.

UMD's academic programs, research/creative activity, and campus diversity presented throughout the Assurance Argument comprise the resources and related capabilities the institution delivers within the community and across the state. In particular, the updated Strategic Plan continues to recognize UMD's impact on American Indian nations that occurs through teaching, research, and public engagement (summary).

Sources

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- Chancellor Communication - Dec 2015 Email
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- SFA - News Release - Theatre Presents One River
- Strategic Planning Website - Homepage
- Student Life - Bulldog Update Parents and Family - January 2017
- Student Life - Mission
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- UMD Posters in Bus Stop Display - Fall 2017
- UMD Website - About Page
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1.C - Core Component 1.C

The institution understands the relationship between its mission and the diversity of society.

1. The institution addresses its role in a multicultural society.
2. The institution's processes and activities reflect attention to human diversity as appropriate within its mission and for the constituencies it serves.

Argument

1.C.1. As a higher education institution and as an employer, UMD articulates and embodies its integral role in a multicultural society throughout the Strategic Plan (2011; 2017):

- The mission specifies that students will be "globally engaged citizens."
- A core value is inclusiveness: respecting and embracing the diversity of individuals, perspectives, and ideas and promoting social justice.
- The vision involves a reaffirmation that "UMD is a diverse community of scholars and learners who embrace our long-standing connections to the region also looking toward a future that will be even more diverse and global" and serves "students from all walks of life."
- Goal 2 is "Advance equity, diversity, inclusiveness, and social justice within the campus community."

Directly supporting the mission to educate globally engaged citizens, all undergraduate students receive instruction specific to the campus student learning outcome, "apply understanding of cultural differences in diverse environments." The Liberal Education Program's Cultural Diversity in the U.S. and Global Perspectives course learning outcomes align with this campus-level outcome. The graduate learning goal category "cultural competence and global context formation of the field" requires each graduate degree program to have one or more program learning outcomes to achieve the goal.

Students may also choose a degree program that aligns to UMD's diversity learning goals and outcomes (examples: American Indian Studies, Social Work, and Communication Sciences and Disorders); take courses, majors, or minors related to specific cultures (summary); and/or participate in Study Abroad Program opportunities. UMD faculty deliver many Study Abroad Programs, and may partner with faculty from other countries to design and deliver courses through Collaborative Online International Learning (COIL) projects.

Academic-support programs and centers on campus supporting UMD's role in a multicultural society include the Royal D. Alworth, Jr. Institute for International Studies, the American Indian Learning Resource Center, and the Ruth A. Meyers Center for Indigenous Education.

Administrative committee structures across campus facilitate progress toward Goal 2 achievement. The Campus Change Team develops and coordinates campus-wide strategic direction and major initiatives, while 18 Unit Change Teams carry out activities focused at the division and department levels for faculty, staff, and students. UMD's Faculty Fellow for Intercultural Initiatives (now Equity and Inclusion Education and Training) and the Assistant to the Chancellor for Inclusive Excellence co-chair the Campus Change Team and are members of the Chancellor's Leadership Council.

The Campus Climate Response Team responds to issues or incidents threatening the campus climate. Commissions related to human diversity provide resources and advocate for campus constituents: the Commission on Disabilities, the Commission for Women, the Commission on Equity, Race and Ethnicity, and the Gay Lesbian Bisexual Transgender Queer Ally Intersex (GLBTQAI) Commission (website in development).

Centrally located physical space on campus houses the Multicultural Center, which promotes and celebrates human diversity through a variety of student organizations connecting students on campus and in the community. The Office of Diversity and Inclusion (formerly the Office of Cultural Diversity) provides programs and services supporting UMD's commitment to inclusivity, equity, and social justice. A recently remodeled prayer room is located near the center.

1.C.2. As part of the University of Minnesota, UMD is an equal opportunity educator and employer. The University demonstrates the value of diversity and inclusiveness throughout processes and activities that support students' educational successes and the work of faculty and staff (President's Equal Opportunity Statement).

Within curricular processes, diversity information is required for all academic program proposals. The undergraduate and graduate program proposal forms include the item, "How, if at all, will the program address the University's diversity goals, e.g., student and faculty recruitment, curriculum, etc.?" Liberal Education course proposal forms for Cultural Diversity in the U.S. and Global Perspectives specifically address the undergraduate learning outcome related to diversity. Program assessment reports for these categories demonstrate the manner in which diversity is embedded within the Liberal Education Program (Global Perspectives report; Cultural Diversity in the U.S. report).

Student admissions processes recognize diversity and seek to increase student body diversity through recruiting activities. Prospective student marketing materials for visiting, finance, housing, and student life are translated into Spanish, Somali, and Hmong. UMD is a member of the Minnesota Association of Counselors of Color (two UMD staff are executive board members), and admissions counselors participate at school fairs held specifically for students who may not be able to visit college campuses. Diversity characteristics also contribute to secondary admissions factors.

In addition, units across campus work to support a diverse student body through intentional practices, such as scholarships for underrepresented students and instruction on how to work effectively in diverse teams (examples: 2017 Diversity Policy and Practices Related to Undergraduate Education). Underrepresented UMD students pursuing STEM degrees are supported through participation in North Star STEM services, including peer tutoring, group study sessions, and opportunities to attend seminars, conferences, and workshops. The Writers' Workshop has a full-time specialist and study groups to support non-native speakers of English.

UMD Study Abroad provides guidance for faculty and staff to facilitate the development of international educational partnerships, such as student exchanges and scholarship opportunities. UMD Career and Internship Services provides information and assistance to employers to promote job and internship placement of international students.

The Campus Change Team leads efforts aligned with Goal 2 (examples: 2013 summary). The team implemented an incident reporting process and response protocol; advocated for the inclusion of Goal 2 on staff annual performance reviews (examples: Student Life appraisal form; Library appraisal form); and provided grants to support the work of Unit Change Teams (example: College of Liberal

Arts Cultivating Compassion campus-wide conference).

The Campus Change Team regularly conducts faculty, staff, and student surveys and focus groups to monitor campus climate perceptions and identify areas for improvement. For example, recommendations based on 2013 faculty-staff survey results included training and education to reduce harassment and bias. The current UMD Faculty Fellow for Diversity and Inclusion Education and Training works with the University Office for Equity and Diversity. The Fellow coordinates the campus-wide programs, which include the Intercultural Leadership Development Program, Intercultural Pedagogy Community of Practice, Implicit Bias in the Search Process training, Courage to Teach retreats and book groups, and the Equity and Diversity Certificate (2016-17 activity summary). Faculty may also complete diversity training offered by the National Center for Faculty Development and Diversity, which was extended to the UMD campus in Fall 2017.

In Fall 2015, the Campus Change Team launched an in-depth assessment of the campus climate through Rankin & Associates. During Fall 2016, results were presented to the campus, and faculty, staff, and students participated in "idea sessions" to discuss the results. Input from idea sessions was analyzed to provide a framework for developing activities at unit and campus levels around three themes: making UMD more diverse, making UMD more inclusive, and fostering anti-bullying and civility (Campus Climate presentation). Initial activities implemented May 2017 included four faculty-staff workshops delivered by Kathy Obear on inclusiveness and incivility (26-80 participants per session).

Unit Change Teams conduct activities that best serve the needs of their respective areas (examples: 2015 reports). A representative from each Unit Change Team belongs to the Campus Change Team to facilitate communication and coordination across campus.

Additional committees, departments, schools, centers, and institutes provide a variety of activities for faculty, staff, students, and the community. The Employees of Color and American Indian Mentoring Program (previously known as the Faculty and Staff of Color Association) developed and implemented a mentoring program in 2014 to facilitate retention of faculty and staff of color. The group also works closely with the students of color and international students.

The Institute for Diversity, Equity, and Advocacy within the University of Minnesota Office for Equity and Diversity provides additional support for recruiting, retaining, and advancing the work of diverse faculty and scholars. Several UMD collegiate units have participated in the University's Pre-Doctoral Diversity Fellows Program since 2011-12, in which doctoral candidates from underrepresented groups on the University of Minnesota Twin Cities' campus teach or assist with one class per semester for one academic year at UMD under the supervision of a tenured or tenure-track faculty member. UMD Student Association provides grants to UMD student organizations based on the evaluation of seven criteria, including two related to multiculturalism: accessibility to students and contribution to cultural diversity.

Recent events on campus include the day-long "teach-in" Water is Life: Standing Rock and Beyond sponsored by the UMD Chapter of American Indian Science and Engineering Society; gender equity events sponsored by the Commission for Women; and the UMD Summit on Equity, Diversity, and Multiculturalism. The Multicultural Center hosts various events on a regular and annual basis, such as lectures, discussions, films, receptions, and cultural celebrations. Campus events are posted on a public calendar (example: September 2017).

Faculty in the American Indian Studies Department provide training through a collaboration with UMD Center for Economic Development to deliver tribal relations training to Minnesota state agency

employees. Nearly 2,000 employees have attended one of the training sessions, which are held at various tribal locations throughout the year to build upon positive and respectful relations among Minnesota's 11 tribal governments and State of Minnesota agencies. In 2017, the training was expanded to the Federal Forest Service.

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- Campus Climate - Unit Change Teams
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- North Star STEM Alliance Student Services
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- Somali - Finances Visit Tactic
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- Writers Workshop - About
- Writers Workshop - ESL Study Groups Fall 2017

1.D - Core Component 1.D

The institution's mission demonstrates commitment to the public good.

1. Actions and decisions reflect an understanding that in its educational role the institution serves the public, not solely the institution, and thus entails a public obligation.
2. The institution's educational responsibilities take primacy over other purposes, such as generating financial returns for investors, contributing to a related or parent organization, or supporting external interests.
3. The institution engages with its identified external constituencies and communities of interest and responds to their needs as its mission and capacity allow.

Argument

1.D.1. As a land-grant institution, UMD maintains its commitment to the public good as evidenced throughout the Strategic Plan (2011; 2017):

- The mission specifies that public engagement is integrated with liberal education, research, and creative activity.
- A core value is engagement: collaborate with each other and the larger community to identify and achieve common goals.
- The vision involves a reaffirmation of "service and engagement beyond the confines of the campus," contributions to "economic, cultural, social, and environmental sustainability and the development of resilient communities in the Northland and beyond," and "enhancing [UMD's] regional and even international reputation and presence."
- Goals 1, 4, and 5 specify UMD's impact for the community, local region, state, Midwest region, and/or world.

UMD provides educational opportunities to live these aspects of the mission and fulfill its public obligation by connecting students and faculty to the community (examples: Center for Environmental Education; Sustainable Agriculture Project Farm; Center for Sustainable Community Development). Degree requirements may include internships and practica that place students into outside organizations (examples: Criminology and Sociology; Integrated Elementary and Special Education). Faculty may embed service-learning projects into their courses to benefit local organizations, such as those offered through the Student-to-Business Initiative and the Duluth Shines program. Strategic Plan grants provided in 2011-12 supported a variety of community-oriented activities.

Students in the Robert F. Pierce Speech and Hearing Clinic provide professional outpatient speech-language-hearing services to members of the community at no cost. The Center for Regional and Tribal Child Welfare Studies connects students with tribes, county agencies, and Minnesota non-profit organizations.

Co-curricular programs, such as the University Honors Program, Kirby Leadership Institute, Greek Life sororities and fraternities, and UMD Intercollegiate Athletics, also incorporate requirements to serve the community.

UMD delivers formal educational programming to adult, non-degree seeking students through University for Seniors, the Center for Economic Development, and the Fine Arts Academy. Specific

programs serving youth in the region have included the Teen Enterprise Camp, UMD Voyageurs, Upward Bound Vision Quest, College in the Schools (CITS), and Post-Secondary Enrollment Option (PSEO).

UMD's community-oriented educational facilities and programs include Tweed Museum of Art and Glensheen Mansion (museum), the Boulder Lake Environmental Learning Center, the Ruth A. Meyers Center for Indigenous Education, the Children's Place, Preschool at the Park, and the Marshall W. Alworth Planetarium.

Research activities involve a public education component through units such as the Natural Resources Research Institute, the Large Lakes Observatory, the Minnesota Sea Grant, and the Bureau of Business and Economic Research.

When classes are not in session, departments in the divisions of Student Life and Finance & Operations open facilities and host programs for the public, such as the KIDSROCK summer camp program. The public is invited to student organization events, including the International Club's annual Feast of Nations and the Asian Pacific American Association's annual Culture Show.

1.D.2. As a public institution within the University of Minnesota System, UMD focuses on conducting its educational responsibilities in responsible ways. UMD does not have investors in a traditional business sense; System administration and the Board of Regents hold the institution accountable. Each year, UMD provides quantitative and qualitative data to the System for inclusion in the University Plan, Performance, and Accountability Report for public dissemination (2016; 2017).

UMD follows the System's Institutional Conflict of Interest Policy stating, "The University strives to ensure that its research, teaching, outreach and other activities are not compromised or perceived as biased by financial and business considerations."

UMD also abides by the Individual Conflict of Interest Policy covering all faculty and Professional & Administrative (P&A) staff that holds the employees to "a shared ethical standard of ensuring that their relationships with business entities are transparent, grounded in objectivity, and do not improperly influence their professional judgment, exercise of University responsibilities, or performance of University-related activities." Faculty and P&A employees are required to complete an annual Report of External Professional Activities to claim significant financial and business interests related to their responsibilities.

1.D.3. As described in Subcomponent 1.D.1., UMD actively engages with external constituencies in mutually beneficial ways, supporting student educational experiences; faculty research and creative activities; organizations; and communities. UMD primarily serves external constituencies within the immediate region and the State of Minnesota, though the mission extends to the Midwest and beyond. Overall, the institution continues to make progress toward campus goals related to serving the needs of the public, as documented in the 2011-2013 and 2014-2017 Strategic Plan activity summaries. In March 2017 UMD presented a summary of community engagement activities to the Board of Regents to highlight the campus's public engagement work.

At the undergraduate level, high school students may take UMD courses through CITS and PSEO dual-credit programs. High school teachers deliver UMD CITS courses under the guidance of a UMD

faculty advisor, whereas UMD faculty deliver UMD courses on campus in which PSEO students may enroll.

Selected UMD graduate programs delivered in classroom formats elsewhere in the state include Iron Range Engineering (Virginia, MN) and the Master of Business Administration (Rochester, MN); HLC reviewed these sites in 2015. The Master of Education is delivered as a hybrid program to primarily serve students throughout the region and state, and the Master of Tribal Administration and Governance is available in a completely online format to reach a broad audience.

University of Minnesota graduate students may take UMD coursework for Integrated Biosciences and Water Resources Sciences (the Integrated Biosciences M.S. became a UMD program effective Fall 2017). UMD serves the University of Minnesota System by providing facilities for the University of Minnesota Twin Cities Medical School and College of Pharmacy programs, though they are not UMD programs. These partnerships allow the System to serve regional needs in an effective and efficient manner.

The regional footprint also includes the Center for Economic Development, which is the official site for the Northeast Minnesota Small Business Development Center and the administrative designee for the Northwest Minnesota Small Business Development Center. The Natural Resources Research Institute is a research facility established to stimulate economic development in the region through operations in Duluth and at the Coleraine Research Facility.

UMD partners with a number of community agencies, such as:

- Duluth Transit Authority (DTA): Students pay a low transportation fee each semester for unlimited DTA bus rides. Faculty and staff may also purchase discount tickets through UMD.
- Program to Aid Victims of Sexual Assault (PAVSA): PAVSA advocates in the Women's Resource & Action Center provide training for students, faculty, and staff as well as on-campus advocacy support for victims of sexual and relationship violence.
- Minnesota Power: UMD will be purchasing energy through Minnesota Power's new community solar garden.

Based on 2014 data, UMD's overall economic impact on the region is estimated at more than $521 million annually, which is a 5.7 percent increase from the 2010 report (Bureau of Business and Economic Research Report).

Sources

- CED - Northeast MN Small Business Development Center
- CED - Northwest MN Small Business Development Center
- CED - Student to Business Initiative
- CED - Teen Enterprise Poster 2015 - Duluth
- CED - Training and Development
- CEHSP - Boulder Lake - Adult Learning
- CEHSP - Center for Environmental Education
- CEHSP - Center for Regional and Tribal Child Welfare Studies - Description and Programs
- CEHSP - Childrens Place
- CEHSP - Integrated Elementary and Special Education - Practicum Handbook
- CEHSP - Master of Education - Description from Department Website
- CEHSP - Preschool at the Park

- CEHSP - Robert F Pierce Speech and Hearing Clinic
- CEHSP - Ruth A Myers Center for Indigenous Education
- CEHSP - Upward Bound Vision Quest
- CITS - School District Responsibilities and Participating Schools
- CLA - Center for Sustainable Community Development
- CLA - Master of Tribal Administration and Governance Website
- CLA - Sociology and Criminology - Internship Handbook
- CLA - UMD Land Lab - Project Farm
- Duluth Transit Authority Partnership
- Final Updated UMD Strategic Plan - December 4, 2017
- Glensheen
- HLC UMD Multi-Location Visit Completed in 2015
- Integrated Biosciences Graduate Program
- Intercollegiate Athletics - Community Engagement
- Kirby Leadership Institute - Requirements
- LSBE - Bureau of Business and Economic Research Overview
- LSBE - MBA Rochester Location
- Minnesota Power Community Solar Garden
- Natural Resources Research Institute - Mission-Vision-Values
- Natural Resources Research Institute - Welcome
- Post-Secondary Enrollment Option Description
- Report of External Professional Activities (REPA) - Website
- SCSE - Duluth Shines 2015
- SCSE - Iron Range Engineering
- SCSE - Large Lakes Observatory
- SCSE - Marshall W. Alworth Planetarium Overview
- SCSE - Minnesota Sea Grant
- SFA - Fine Arts Academy
- SFA - Tweed Museum
- SFA - UMD Voyageurs
- Strategic Plan Update - 2011-2013
- Strategic Planning - 2011 Process - Approved Vision Mission Values Goals
- Strategic Planning - 2011 Process - Grants Round 1
- Student Life - RSOP - Summer Youth Camp
- UMD Catalog - Graduate Programs Listing
- UMD Community Engagement Presentation to BOR March 2017
- UMD Courses for High School Students - CITS and PSEO
- UMD Goals Update - 2014-2017
- UMD Greek Life
- UMD News Story - Culture Show
- UMD News Story - Feast of Nations
- UMD Off-Campus Locations Map
- UMD Regional Economic Impact Report - 2015
- University College of Pharmacy - Duluth Campus
- University for Seniors
- University Honors Program - Non-Course Experiences
- University Medical School - Duluth Campus
- University Plan, Performance, and Accountability Report - 2016
- University Plan, Performance, and Accountability Report - 2017
- University System - Individual Conflicts of Interest Policy

- University System - Institutional Conflict of Interest Policy
- Water Resources Science Graduate Programs
- Womens Resource and Action Center - PAVSA Partnership

1.S - Criterion 1 - Summary

The institution's mission is clear and articulated publicly; it guides the institution's operations.

Summary

UMD recognizes that continuous improvement remains core to delivering on its mission. Continuous improvement examples related to Criterion 1 that are in-progress or forthcoming include:

1. Finalizing initiatives and measures for UMD's updated Strategic Plan.
2. Updating the Global 2020 Strategic Plan.
3. Expanding Tribal academic programs (two new master's programs will be implemented in 2018).
4. Pursuing the Carnegie Community Engagement classification.

Sources

There are no sources.

2 - Integrity: Ethical and Responsible Conduct

The institution acts with integrity; its conduct is ethical and responsible.

2.A - Core Component 2.A

The institution operates with integrity in its financial, academic, personnel, and auxiliary functions; it establishes and follows policies and processes for fair and ethical behavior on the part of its governing board, administration, faculty, and staff.

Argument

2.A. University of Minnesota's governing board is the System-wide 12-member Board of Regents, and the chief executive officer is the System President. The Board appoints the UMD Chancellor, who serves as the President's chief representative for the UMD campus (Article I, Section IV, Reservation and Delegation of Authority Policy). According to the UMD Constitution, the UMD Chancellor has general administrative authority over the UMD campus, carried out by the Chancellor and senior administrative officers and through general legislative authority placed in the campus governance structure.

Specific policies govern Board operations to manifest ethical behaviors at the highest administrative level of the institution:

- Responsibilities of the Board and Individual Regents: The Board of Regents retains clearly defined oversight and responsibility for approving budgets, major policy decisions, and education programs; monitoring and evaluating institutional performance; maintaining fiduciary responsibility for the long-term welfare of the University; and ensuring adequate resources (human, financial, physical).
- Code of Ethics for Members of the Board of Regents: The Regents must be accountable in the areas of financial disclosure, gifts, expenses, and conflicts of interest, and shall not use the authority, title, or prestige of their office to benefit in any manner that is inconsistent with the public interest.
- Board Operations and Agenda Guidelines: The Board of Regents is accountable to the public for accomplishing the mission of the University; meets openly; fosters communication with Minnesota citizens, elected representatives, and the University community; and works to create a relationship of trust and openness with the President.

Board policies and bylaws further establish the framework and standards for integrity, fiduciary responsibilities, and accountability in academic, administrative, financial, and human resource functions across the System. Policies pertaining to academic freedom and responsibility, academic misconduct, employee conduct, student conduct, outside consulting, research involving human subjects, and related items are explained in more detail below and in Core Component 2.E.

The Board reviews policies every six years to determine that fundamental principles of each policy are appropriate for the strategic direction of the University, that each policy is still needed, and that the policy aligns with current practice (the Board recently discussed Board Policy Development:

Governance & Policy Committee minutes, October 13, 2016). Policies may be amended in accordance with the Board Operations and Agenda Guidelines Policy, with a one-month period of review for any such Board Meeting action item.

In areas where the Board delegates responsibilities (Reservation and Delegation of Authority Policy, Article II), System-wide policies are established through the University Senate. The University Policy Library lists these policies and related procedures for financial, academic, human resources, administrative and operations, and information technology functions. These policies help to ensure consistency, foster collaboration across all campuses, and generate operational efficiencies within the University System. The University's administrative policy development process includes a 30-day open review and comment period for new and significantly revised policies to provide University members across the System opportunities for response. The input is reviewed and considered prior to finalizing the policy and associated documents.

Board of Regents procedures ensure conduct standards are met. Practices include:

- The Board's Audit Committee and Internal Control Policy monitor that University activities and financial operations comply with laws and regulations. The Audit Committee oversees the University's risk assessment and internal controls, audits, financial reporting practices, and institutional compliance.
- Reporting and investment program requirements are conducted in accordance with the Policy for Investment Functions.
- The Office of Internal Audit, comprised of System employees who report directly to the Board, provides independent, objective assurance and advisory services to improve University controls, accountability, and oversight.

The System extends the Board's foundation of integrity and ethical treatment of University members. For example, the serious issue of sexual assault on college campuses has been prominently discussed since 2014, which led to revisions of the Sexual Assault, Stalking and Relationship Violence Policy in 2015 and a new Sexual Harassment, Sexual Assault, Stalking and Relationship Violence Policy in 2018. The new policy consolidates information from the previous policies on Sexual Assault, Stalking and Relationship Violence and Sexual Harassment, describes University responses to sexual misconduct reports, incorporates language on retaliation, and broadens employee obligations to report sexual misconduct. The new policy coincides with the President's Initiative to Prevent Sexual Misconduct. During the past few years, UMD has improved protocols regarding campus policies, reporting procedures, and resources. UMD also disseminates information across campus on a regular basis, including handouts (example 1, example 2) and training (faculty and staff; students).

System-wide, the University maintains an accredited Institutional Review Board (IRB) that reviews research projects involving human subjects and the accredited Research Animal Resources (RAR) unit that oversees animal care and lab facilities (Core Component 2.E. describes these units in greater detail). The University Controller's Office provides systems, controls, and procedures to structure and maintain oversight of purchasing, disbursement services, insurance, and sponsored financial reporting. Administrative policies include rules for responsible accounting, budgeting, procurement, and travel to comply with legal, governmental, and auditing requirements.

Additional compliance units include the Office for Institutional Compliance, which oversees compliance risk areas, conflict of interest programs, and delegation of authority for approval of external contracts, and the University Health Information Privacy and Compliance Office that ensures appropriate handling of individually identifiable health information to comply with the Health Insurance Portability and Accountability Act (HIPAA). The Department of Environmental Health and

Safety provides System-wide regulatory compliance support as well as consulting services and employee training programs.

Because UMD administrators, faculty, and staff are University of Minnesota employees, policies and processes establishing high standards to guide ethical employee behaviors are established at both the System and campus levels. UMD-specific policies and procedures guide behavior with regard to the functional aspects unique to the UMD campus. These areas are primarily within the academic, human resources, and technology functions.

UMD follows policies by widely communicating the policies and conduct standards, implementing appropriate procedures and processes, and holding employees accountable. New faculty and staff view the new employee welcome video, and Continuing Education program instructors for non-credit courses receive the professional development educator guidelines. After orientation, ongoing UMD employee training is available; recent examples include external contracts compliance and fostering positive interactions among employees and students.

Employment rules are specified for System-wide staff classifications, such as Civil Service (Rule 2 Code of Conduct) and American Federation of State, County, and Municipal Employees (AFSCME) (example: Clerical and Office Unit Collective Bargaining Agreement). UMD faculty are covered under the University Education Association agreement (Article 113.000). Union contracts have clear language specified and communicated for violations of policies that result in disciplinary action (examples: AFSCME Clerical Article 22, UEA Article 1000.000). University employees can report law or policy violations online through the Office of Human Resources.

Students receive communication regarding academic integrity at UMD and the Regents Student Conduct Code Policy in various ways, such as the online new student orientation (students are automatically added to the "course" site after signing up for Orientation) and on syllabi in accordance with the UMD Syllabus Policy. Violations of the student conduct code are administered by the Office of Student Conduct and Conflict Resolution, which provides procedures to investigate and report policy violations and instructions for faculty reporting them.

The University also strictly complies with the Family Education Rights and Privacy Act (FERPA) to protect student privacy. The Regents Student Education Records Policy provides the foundation for additional policies, communications, and training. FERPA resources are available online to faculty, staff, students, and parents. Student privacy is also protected through the use of secure technology systems that require login with usernames and passwords and limit access to student records based on role.

Students also have the right and ability to submit complaints and grievances on various aspects of the student experience through a campus-level online form or directly with colleges, departments, faculty, or staff. Established procedures help to ensure complaints are investigated and appropriate resolutions are provided.

Sources

- Academic Dishonesty - Faculty-Staff Resources
- Academic Support Resources - FERPA
- AFSCME Clerical and Office Collective Bargaining Agreement - Article 22
- AFSCME Clerical and Office Collective Bargaining Agreement 2017-2019
- Board of Regents - Academic Policy Index

- Board of Regents - Administrative Policy Index
- Board of Regents - Bylaws
- Board of Regents - Financial Policy Index
- Board of Regents - Human Resources Policy Index
- Board of Regents - Meeting - October 2016 Minutes
- Board of Regents - Meeting - October 2016 Minutes (page number 3)
- Board of Regents Committees
- Board of Regents Policy - Board Operations and Agenda Guidelines
- Board of Regents Policy - Board Operations and Agenda Guidelines (page number 4)
- Board of Regents Policy - Board Policy Development
- Board of Regents Policy - Code of Ethics for Members of the Board of Regents
- Board of Regents Policy - Internal Control
- Board of Regents Policy - Investment Functions
- Board of Regents Policy - Investment Functions (page number 3)
- Board of Regents Policy - Reservation and Delegation of Authority
- Board of Regents Policy - Reservation and Delegation of Authority (page number 3)
- Board of Regents Policy - Reservation and Delegation of Authority (page number 7)
- Board of Regents Policy - Responsibilities of the Board and Individual Regents
- Board of Regents Policy - Student Conduct Code
- Board of Regents Policy - Student Education Records
- Campus Change Team - 2017 Kathy Obear Workshops
- CED - Continuing Education Instructor Handbook
- Civil Service Employment Rules
- Civil Service Employment Rules (page number 6)
- Department of Environmental Health and Safety
- Institutional Review Board - Overview
- ITSS - UMD Technology Policy Listing
- New Student Orientation - Code of Conduct
- Office of Student Conduct and Conflict Resolution
- Office of Student Conduct and Conflict Resolution - Conduct Process
- Office of the General Counsel - Contracting Process Presentation
- Presidents Initiative to Prevent Sexual Misconduct
- Research Animal Resources Services
- Responding to Sexual Misconduct at UMD - Student Training
- Responding to Sexual Misconduct at UMD - Website
- Sexual Assault Resources
- Sexual Assault Training - Faculty and Staff
- Student Academic Integrity Policy
- Student Complaints and Grievances - One Stop Website.pdf
- Student Crises and Concerns Emergency Guide 2016-17
- Syllabus Policy
- UMD Academic Policy Listing
- UMD Constitution (2014) and Bylaws (2017) Approved
- UMD HR - Policy Listing
- UMD Policy Webpage
- University Education Association Agreement - 1000.000
- University Education Association Agreement - 113.000
- University Employee Site to Report a Law or Policy Violation
- University HR - Bargaining Units and Listing of Contracts
- University System - Controllers Office

- University System - Health Information Privacy & Compliance Office
- University System - New Employee Video - Code of Conduct Transcript
- University System - Office of Institutional Compliance
- University System - Office of Internal Audits
- University System - Policy Library - Administration and Operations
- University System - Policy Library - Education and Student Life
- University System - Policy Library - Finance
- University System - Policy Library - Human Resources
- University System - Policy Library - Information Technology
- University System - Policy Review Website - 10-23-17
- University System - Sexual Assault, Stalking and Relationship Violence Policy
- University System - Sexual Harassment, Sexual Assault, Stalking and Relationship Violence Policy

2.B - Core Component 2.B

The institution presents itself clearly and completely to its students and to the public with regard to its programs, requirements, faculty and staff, costs to students, control, and accreditation relationships.

Argument

2.B. UMD discloses extensive and easily accessible information to meet the respective needs of students and the public and to facilitate clear communication.

Information about academic programs and degree requirements is publicly available through links on UMD's homepage (www.d.umn.edu):

- "Explore," which is targeted toward prospective students, provides a list of academic programs. Clicking on any program name reveals curriculum details.
- "Academics" is one way to access the online UMD Catalog and related links, such as academic policies, calendars, and each college's website, which includes UMD units and Twin Cities' programs located on the UMD campus (Medical School and College of Pharmacy). Each college's website also provides information for its academic programs.

From the homepage visitors may easily find information about "UMD Admissions," including information on how to apply, visit campus, and learn more about UMD. Students and the public will find information about living on campus through "Campus Life." Details about events and what's happening on campus are found on Athletics, Events, and News sites.

Through "About UMD," visitors access information about UMD's Strategic Plan, HLC accreditation details (with approved seal and related campus status profile), student consumer information, the student body profile, faculty profile, UMD facts, and additional institutional items about the organizational structure, news and events, and maps and pictures. Specialized accreditations for academic programs are included on UMD's accreditation page, which also links from the Catalog.

"Resources" links at the bottom of the homepage take stakeholders to pages containing information relevant to each group: newly admitted undergraduate students, current students, faculty and staff, alumni, parents and family, and community and visitors.

The "One Stop" page is the primary student services site, and much of the content is accessible to the public. Within One Stop, education requirements, registration guidelines (credit hours and enrollment status, maximum semester credits, registration holds, repeating courses), and additional academic information is provided under the Academics tab. Cost of attendance (tuition, housing, fees) is summarized for students under the Finances tab along with additional finance and financial aid information, including satisfactory academic progress. Undergraduate students will also find cost of attendance details on the Admissions website with a calculator.

Through One Stop, students have complete and accurate information regarding deadlines for course registrations and withdrawals as well as payments and refunds, plus forms and "how-to" guides. When students sign in to One Stop with their UMD username and password, they may access their student records. Students may also access their accounts through the MyU portal, provided next to the One Stop link on UMD webpages.

Parents can find useful information through the "Parents and Family" page from the office of Admissions, through the "Bulldog Update: Parents & Family Edition," and by accessing One Stop information (with student authorization). The Undergraduate Admissions site also includes resources for High School Counselors.

The Career and Internship Services website devotes a page to present the annual Graduate Follow-Up Report, which provides the public with results and summaries of graduate surveys, such as employment and salary information. At the department level, Communication Sciences and Disorders publishes student outcome data online, including licensure exam pass rates.

Any person can access information provided on the Office of Institutional Research (OIR) website, which houses Campus Data Book files. These files include comprehensive data and statistics for enrollment, student-faculty ratios, degrees conferred, financial aid distribution, tuition and fees, expenditures, and student credit hours. The University Plan, Performance, and Accountability Report, updated annually and available online, includes data from OIR that shows comparisons to UMD peer institutions.

Additional communications for students and the public commonly include various handouts distributed during campus events. For example, during each fall semester UMD hosts a two-day Campus Preview event for prospective students and their families. Guests may speak to representatives from academic programs, student support services, and student affairs departments and take home packets of materials related to their interests (examples: CEHSP; CLA; LSBE; SFA; SCSE; Housing and Residence Life). At any time of year, students and visitors may take handouts from the Study Abroad Programs display located in a main hallway on campus next to the International Programs and Services office. Prospective and current international students can find information online regarding specialty support programs, such as English as a Second Language International (ESLI) and the Academic English Language Program (AELP).

In addition to public engagement-oriented websites for activities presented in Subcomponent 1.D.1., UMD Marketing and Public Relations staff write and distribute news stories through the UMD homepage, Twitter feed, Facebook page, email blasts, the MyU portal, U of M Brief, and Alumni Association newsletters. The office also oversees the University of Minnesota brand and UMD brand policies to ensure campus websites and other communication materials are consistently branded and well coordinated (example: boilerplate language). Branding and accessibility (Accessibility of Information Technology Policy) provided impetus for the System to transition websites to a new web format called Drupal.

Sources

- Academic English Language Program
- Academic Program Specialized Accreditations
- Admissions Website - Calculator
- Admissions Website - Costs
- Admitted Students Landing Page
- Alumni Relations - Landing Page
- Bulldog Update - Parents & Family Edition
- Campus Data Book - Fall 2016 Table of Contents
- Campus Preview Description
- Campus Preview Handout Samples - CEHSP

- Campus Preview Handout Samples - CLA
- Campus Preview Handout Samples - Housing and Residence Life
- Campus Preview Handout Samples - LSBE
- Campus Preview Handout Samples - SCSE
- Campus Preview Handout Samples - SFA
- Career and Internship Services - Graduate Follow-up Report Archive
- CEHSP - Communication Sciences and Disorders - Student Outcome Data including Licensure
- Community Resources Landing Page
- Current Students Landing Page
- Employee Resources Landing Page
- English as a Second Language International
- High School Counselors - Admissions page
- HLC Statement of Accreditation Status
- Marketing and Public Relations - Staff page
- One Stop - Academics - Registration Guidelines
- One Stop - Academics Links
- One Stop - Cost of Attendance Page
- One Stop - Dates and Deadlines Page
- One Stop - Education Requirements Page
- One Stop - Finance Links
- One Stop - Finances - Satisfactory Academic Progress
- One Stop - Forms Listing
- One Stop - How-To Guides
- One Stop - Landing Page Screenshot
- One Stop - Parents and Family Guide Page
- Parents and Family - Admissions Page
- Parents and Family - Student Life Landing Page
- Strategic Planning Website - Homepage
- Study Abroad - Program Display Examples
- UMD Accreditation Website
- UMD Admissions Homepage
- UMD Brand Standards - Boilerplates with HLC Language
- UMD Brand Webpage
- UMD Catalog - Homepage
- UMD Events Calendar - Sample Printout
- UMD Office of Institutional Research - Website Homepage
- UMD Student Consumer Information Webpage
- UMD Website - About Page
- UMD Website - About Page - Facts
- UMD Website - About Page - Faculty Profile
- UMD Website - About Page - Student Profile
- UMD Website - Academics Page
- UMD Website - Athletics Page
- UMD Website - Campus Life Page
- UMD Website - Explore - Majors and Minors
- UMD Website - Homepage
- UMD Website - News Page
- University Plan, Performance, and Accountability Report - 2017
- University Relations - Communication Resources
- University System - Accessibility of Information Technology Policy

2.C - Core Component 2.C

The governing board of the institution is sufficiently autonomous to make decisions in the best interest of the institution and to assure its integrity.

1. The governing board's deliberations reflect priorities to preserve and enhance the institution.
2. The governing board reviews and considers the reasonable and relevant interests of the institution's internal and external constituencies during its decision-making deliberations.
3. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties when such influence would not be in the best interest of the institution.
4. The governing board delegates day-to-day management of the institution to the administration and expects the faculty to oversee academic matters.

Argument

2.C.1. Board of Regents responsibilities encompass the preservation and enhancement of the University of Minnesota System. The bylaws establish the Board's authority to establish standing committees, which are outlined in the Board Operations and Agenda Guidelines Policy. Each committee focuses on specific aspects of the University to protect and strengthen the University's mission and supporting operations. According to the policy, committees include Audit; Academic and Student Affairs; Facilities and Operations; Faculty and Staff Affairs; Finance; Litigation Review; Nominating; and Presidential Performance Review. Special committees may be formed as needed (example: Special Oversight Committee). The committee structure was reviewed and updated in June 2017 to better reflect current issues facing higher education (list of committees posted online).

The Board meets eight times annually to deliberate and make decisions affecting the University. Most committees meet regularly when the Board meets; the exceptions are Nominating (1-2 times per year) and Presidential Performance Review (as called by the Chair). Board and committee deliberations are consistent with the responsibilities specified within the Board Operations and Guidelines Policy (example minutes: September 2017; February 2017; May 2016).

In October 2016, the Board charged a System-wide task force, comprised of members from each campus, with the development of a University Strategic Plan (Board Meeting minutes; docket). The task force built upon the University's mission and guiding principles to create a framework for connecting the University as a System, identifying distinctiveness within while recognizing both the comprehensiveness and distributed nature of the University. The Board adopted the task force's Strategic Planning Report in June 2017 as a framework for developing a plan that will more clearly establish guidance for making key University decisions. The President has identified ongoing work groups to further develop specific components of the System-wide strategy (September 2017 Board of Regents presentation). UMD's Chancellor participates on the President's committee overseeing the plan's development.

2.C.2. The Board of Regents considers interests of the University's internal and external stakeholders through standardized processes and committees (Board Operations and Agenda Guidelines Policy, Section II) through means such as the annual budget compact process, biennium budget request,

capital building requests, and performance reports for internal and external communication as described in Core Components 5.A. and 5.D.

Board policies deal with the University as a whole, and policy development and review/revision procedures are guided by the Board Policy Development Policy.

Board operations and decision-making involve a high degree of openness and public scrutiny. Board of Regents meetings and committee meetings are governed by the Minnesota Open Meeting Law (Minnesota Statute 471.705).

Board meeting agenda items are identified through a consultative process among the President, senior University officials, Board staff, and Regent Chair (Board Operations and Agenda Guidelines Policy, Section III). A professional staff supports the Board in the Regents' governing roles, coordinates communication with public constituencies, and serves as liaisons between Regents and University administration. Staff coordinate Board meetings appropriately and ensure the Board complies with stated policies (Board Operations and Agenda Guidelines Policy; Board Operations: Meetings).

Information, discussion, and action items often involve presentations by stakeholder representatives (example: June 2017 Annual Board Meeting agenda; minutes). For items where additional feedback is sought, appropriate means are used to collect information (example: FY2018 budget feedback form).

Regents often visit University of Minnesota campuses and maintain regular communication with campus administrators to stay informed. In addition to the March 2017 Board meeting held at UMD, the UMD Chancellor, Vice Chancellors, and others regularly attend Board meetings on other campuses. The UMD Marketing and Public Relations office also sends updates to the Board office regarding major press items before news is made public.

2.C.3. The Board of Regents provides leadership and oversight as the constitutionally autonomous governing body for the institution. Consistent with the University's Charter, the University receives financial appropriations from the State of Minnesota and is empowered to manage the University as a separate government department rather than an agency of the executive or legislative branches. Regents are Minnesota citizens selected by the legislature with recommendations by the State's Regent Candidate Advisory Council (2017 report). Regents may continue appointments only by the legislature's re-election every six years.

The Reservation and Delegation of Authority Policy states, "[t]he Board reserves to itself authority to ensure constitutional and institutional autonomy," which helps insulate University operations from political influences at the University. Foundational principles and related Board policies delineate acceptable and unacceptable behaviors to maintain the integrity of the Board, such as:

- "To represent all the people of Minnesota and no particular interest, community, or constituency." (Responsibilities of the Board and Individual Regents)
- "Regents...shall not use the authority, title, or prestige of their office to solicit or otherwise obtain private financial, social, or political benefit that in any manner is inconsistent with the public interest." (Code of Ethics for Members of the Board of Regents)
- "Regents...are expected to put aside parochial interests, keeping the welfare of the entire University, not just a particular constituency, at all times paramount." (Code of Ethics for Members of the Board of Regents)
- "No Regent shall give a gift or solicit another to give a gift to any federal, state, or local

government officials or to any other member of their staff." (Gifts Received and Given by Regents or University Officials)

2.C.4. The Board of Regents provides System leadership within the shared governance system, and delegates UMD management activities to Board-appointed administrators (Reservation and Delegation of Authority Policy). The UMD Chancellor's administrative authority is further outlined in the UMD Constitution. The Board of Regents College Constitutions Policy and UMD Constitution provide guidance for colleges to develop constitutions, which specify academic matters belong to faculty:

- College of Education and Human Service Professions: Article V, Section 2
- College of Liberal Arts: Article III, Section 1
- Labovitz School of Business and Economics: Article V, Section 2
- School of Fine Arts: Article V, Section 2
- Swenson College of Science and Engineering: Article III, Section 1

Primary UMD campus-level governance committees with academic oversight and faculty representation (bylaws) include the Faculty Senate and the Teaching and Learning Committee. Academic-related subcommittees include the Curriculum Subcommittee; Liberal Education Subcommittee; Graduate Programs Council; Assessment Subcommittee; and the Research, Scholarship and Creative Activities Subcommittee. These committees and subcommittees provide a conduit for collecting information from faculty across the campus in order to make recommendations to campus administrators regarding academic matters.

Sources

- Board of Regents - Board Operations
- Board of Regents - Meeting - August 2017 Minutes - Special Oversight Committee
- Board of Regents - Meeting - February 2017 Minutes
- Board of Regents - Meeting - FY2018 Budget Feedback Forum
- Board of Regents - Meeting - June 2017 Agenda
- Board of Regents - Meeting - June 2017 Minutes
- Board of Regents - Meeting - June 2017 Minutes (page number 26)
- Board of Regents - Meeting - June 2017 Minutes (page number 35)
- Board of Regents - Meeting - March 2017 Visit Schedule
- Board of Regents - Meeting - May 2016 Minutes
- Board of Regents - Meeting - October 2016 Docket
- Board of Regents - Meeting - October 2016 Docket (page number 65)
- Board of Regents - Meeting - October 2016 Minutes
- Board of Regents - Meeting - October 2016 Minutes (page number 35)
- Board of Regents - Meeting - September 2017 Docket - System Strategic Planning
- Board of Regents - Meeting - September 2017 Minutes
- Board of Regents - Regent Elections
- Board of Regents - Staff Members
- Board of Regents Committees
- Board of Regents Policy - Board Operations and Agenda Guidelines
- Board of Regents Policy - Board Operations and Agenda Guidelines (page number 2)

- Board of Regents Policy - Board Operations and Agenda Guidelines (page number 3)
- Board of Regents Policy - Board Operations and Agenda Guidelines (page number 9)
- Board of Regents Policy - Board Policy Development
- Board of Regents Policy - Code of Ethics for Members of the Board of Regents
- Board of Regents Policy - College Constitutions
- Board of Regents Policy - Gifts Received and Given by Regents and University Officials
- Board of Regents Policy - Reservation and Delegation of Authority
- Board of Regents Policy - Responsibilities of the Board and Individual Regents
- CEHSP - Constitution 2003
- CEHSP - Constitution 2003 (page number 8)
- CLA - Constitution
- CLA - Constitution (page number 3)
- LSBE - Constitution 2005
- LSBE - Constitution 2005 (page number 8)
- SCSE - Constitution 2017
- SCSE - Constitution 2017 (page number 6)
- SFA - Constitution 2016
- SFA - Constitution 2016 (page number 7)
- State of Minnesota - Open Meeting Law
- State of Minnesota - Regent Candidate Advisory Council
- State of Minnesota - Regent Candidate Advisory Council Report - 2017
- UMD Constitution (2014) and Bylaws (2017) Approved
- UMD Constitution (2014) and Bylaws (2017) Approved (page number 4)
- University of Minnesota Charter - Board of Regents Website
- University System - Strategic Planning Framework - June 2017

2.D - Core Component 2.D

The institution is committed to freedom of expression and the pursuit of truth in teaching and learning.

Argument

2.D. The current University of Minnesota's mission, adopted in 1994, states the System is "dedicated to the advancement of learning and the search for truth" through guiding principles that include values of academic freedom to sustain an open exchange of ideas.

The Board of Regents Academic Freedom and Responsibility Policy defines academic freedom as "the freedom, without institutional discipline or restraint, to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write on matters of public concern as well as on matters related to professional duties and the functioning of the University." This policy reaffirms the principles of academic freedom and responsibility to protect the freedom of expression as well as the pursuit of truth in teaching and learning, which were originally established by the Board of Regents in the Faculty Tenure Policy (Preamble, Section 1). Faculty tenure serves as one mechanism by which faculty are protected against violations of academic freedom.

At UMD, the University Education Association (UEA) Agreement Article 113.000 includes provisions to protect members' academic freedom and clarifies faculty responsibilities. The UEA contract covers faculty who meet the employment eligibility requirements of more than 35 percent time and longer than 67 days per calendar year.

The University Senate Committee on Academic Freedom and Tenure is a System-wide shared governance committee charged with issues of academic freedom and expression, such as promoting the exercise of academic freedom and advising administrators on academic freedom matters. An example of such advisement is the Committee's statement to the University's Institutional Review Board regarding faculty responsibilities in the advisement and oversight of students conducting research with human subjects. The Committee also released a white paper in 2011 outlining several rights and responsibilities by campus constituents, including protections for faculty employees doing teaching and creative work within their respective disciplines.

UMD recognizes, communicates, and upholds principles of academic freedom in teaching and learning through policies, principles, and actions, such as:

- Natural Resources Research Institute (NRRI): education, communication, and ethics core values. NRRI participates in the University's teaching mission, by educating the public and not confusing peer-reviewed science/NRRI communications with personal opinion. NRRI research impacts business and industry across Minnesota and beyond in relatively controversial areas such as mining, forestry, and water.
- Bureau of Business and Economic Research (BBER): unbiased data and analysis concerning the economic viability of building, expanding, relocating, downsizing, and/or eliminating businesses. BBER also conducts studies for mining, forestry, and water industries.
- Minnesota Sea Grant: unbiased research and community outreach regarding water resources

and potentially controversial topics such as climate change.
- Social Networking: inclusion of language from the Academic Freedom and Responsibility Policy for faculty, staff, and students communicating through social media tools.
- KUMD Community Conversation Broadcast: a 30-minute UMD radio station segment on September 7, 2015, featuring Shane Courtland (director, UMD Center for Ethics and Public Policy) on the subject of academic freedom and the debate on teaching or protecting students.
- Department of Philosophy: colloquium events on contemporary topics. Speakers from diverse political backgrounds are purposely selected.
- Course and Program Proposals: faculty propose courses and programs (described in Core Component 3.C.) and choose the pedagogical methods and materials appropriate to their courses in accordance with University policies.

Sources

- Academic Freedom and Responsibility White Paper - 2011
- Academic Freedom and the Institutional Review Board Statement
- Board of Regents Policy - Academic Freedom and Responsibility
- Board of Regents Policy - Faculty Tenure
- Board of Regents Policy - Mission Statement
- CLA - Department of Philosophy - Events
- KUMD Community Conversation Broadcast - Shane Courtland Academic Freedom
- LSBE - Bureau of Business and Economic Research Overview
- Minnesota Sea Grant - Climate Change Talks Listing
- Natural Resources Research Institute - Mission-Vision-Values
- UMD Brand Social Media Guidelines
- University Education Association Agreement - 113.000
- University Senate - Academic Freedom and Tenure Committee Charge

2.E - Core Component 2.E

The institution's policies and procedures call for responsible acquisition, discovery and application of knowledge by its faculty, students and staff.

1. The institution provides effective oversight and support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff, and students.
2. Students are offered guidance in the ethical use of information resources.
3. The institution has and enforces policies on academic honesty and integrity.

Argument

2.E.1. All members of the University are expected to demonstrate integrity in research and scholarly practice as stated in the Board of Regents Code of Conduct Policy specifying ethical conduct in research (Article III, Subd. 7). The Submitting and Accepting Sponsored Projects Policy requires University members to complete training required by the sponsor and the University.

The Research Involving Human Subjects Policy governs all research involving human subjects conducted at the University or by University faculty, staff, or student researchers and delegates authority to the University Institutional Review Board (IRB), which is a key component of the University's Human Research Protection Program. The University's IRB holds Federalwide Assurance (FWA number 00000312) from the Office for Human Research Protection (OHRP) in the Department of Health and Human Services (DHHS). The FWA is a regularly updated, binding agreement between DHHS and the University of Minnesota. The University's Human Research Protection Program is accredited by the Association for the Accreditation of Human Research Protection Programs (AAHRPP).

The IRB provides mandatory and supplemental training in ethics and regulatory compliance for faculty, staff, and students conducting or supporting research at the University. New faculty members, postdoctoral fellows, and others serving as principal investigators (PIs) are required to complete online Responsible Conduct of Research (RCR) Core Curriculum education and possibly additional courses, depending on the research activities. Faculty, staff, graduate students, and undergraduate students must complete a course, seminar, or activity from the IRB's approved list. All graduate and undergraduate students must complete research ethics training for projects supported by NSF, USDA-NIFA, or NIH.

The IRB also establishes and maintains policies and guidelines in accordance with federal regulations, ethical considerations, and best practices; reviews and approves research proposals in accordance with IRB manuals (example); and provides extensive information to University researchers to comply with requirements (standard operating procedures, forms, worksheets, checklists, templates). All research involving human subjects must be approved by the IRB prior to conducting the research.

The Research Compliance Office handles alleged violations of misconduct in research once a Report of a Research Compliance Concern is submitted (investigation process).

The Institutional Animal Care and Use Committee (IACUC) reviews all projects involving animals to ensure the projects are justified by their benefits and minimize any animal pain or suffering that might occur (Animal Care and Use Policy). Review and oversight includes research, teaching, and display

of University of Minnesota-owned animals. The IACUC regularly inspects all projects using animals and all projects housing animals. The University's Research Animal Resources (RAR) provides information on the care, health, and well-being of animals for day-to-day management.

2.E.2. Students receive guidance in the ethical use of information resources in multiple ways. The Office of Student Conduct and Conflict Resolution provides a website for students containing the UMD Student Academic Integrity Policy, guidelines for avoiding scholastic dishonesty, and a listing of prohibited conduct, which includes ways in which the unethical use of information violates the Student Code of Conduct.

UMD's Kathryn A. Martin Library provides writing tutorials that include citation referencing guides and other support information.

The Writers' Workshop graduate student and faculty consultants help students avoid plagiarism during individual appointments. The Writers' Workshop ESL Specialist holds relevant workshops for non-native English speakers (example: Writing with Sources) and provides assistance tailored to meet student needs.

All undergraduate degree programs require WRIT 1120 College Writing that meets the Writing and Information Literacy category of the Liberal Education Program. Student work is evaluated using a rubric for Liberal Education Program assessment regarding the appropriate use of resources as a student learning outcome. Appropriate use of resources is reinforced in WRIT 31xx, which meets the advanced writing requirement for nearly all UMD undergraduate majors.

2.E.3. The Board of Regents Academic Misconduct Policy applies to "all research, scholarly, and artistic activities of all University employees and others who are involved in such activities under the aegis of the University." The policy communicates expectations for academic integrity from employees at all times and in all circumstances.

University employees who engage in misconduct in research or other scholarly activity must cooperate with the investigation and review of any allegation, as stated in the administrative policy on Research Misconduct and related procedures. The University Office of the General Counsel provides legal advice and counsel to the Research Integrity Officer in alleged policy violation investigations. Questions of misconduct while working on federally sponsored University research projects are determined according to University policies and the sponsor's regulations.

The Board of Regents Student Conduct Code is the System-wide policy for academic honesty and integrity of students. Alleged scholastic dishonesty violations are investigated and resolved in accordance with established procedures at the campus level (UMD Student Academic Integrity Policy). The Resolving Alleged Student Conduct Code Violations Policy establishes that each campus creates processes involving hearings and discipline for Student Conduct Code violations. UMD has procedures for faculty/staff (report form; recommended sanctions; informal resolution guidelines) and for students designed to promote fairness and due diligence.

To meet the UMD Syllabus Policy statement requirements, faculty are provided recommended language for course syllabi for student conduct and academic integrity:

- "Student Conduct Code: Appropriate classroom conduct promotes an environment of academic achievement and integrity. Disruptive classroom behavior that substantially or repeatedly interrupts either the instructor's ability to teach, or student learning, is prohibited. Students are expected to adhere to Board of Regents Policy."

- "Academic Integrity: Academic dishonesty tarnishes UMD's reputation and discredits the accomplishments of students. Academic dishonesty is regarded as a serious offense by all members of the academic community. Student Academic Integrity Policy"

Sources

- Academic Dishonesty - Informal Resolution Guidelines
- Academic Dishonesty - Integrity Violation Sanctioning Suggestions
- Academic Dishonesty - Prohibited Conduct
- Academic Dishonesty - Student Resources
- Academic Dishonesty - What Can Students Do to Avoid Academic Dishonesty
- Academic Dishonesty Violation - Faculty-Staff Report Form
- Association for the Accreditation of Human Research Protection Programs - U of M Accreditation
- Board of Regents Policy - Academic Misconduct
- Board of Regents Policy - Animal Care and Use
- Board of Regents Policy - Code of Conduct
- Board of Regents Policy - Research Involving Human Subjects
- Board of Regents Policy - Student Conduct Code
- Board of Regents Policy - Submitting and Accepting Sponsored Projects
- CLA - Writing Program Learning Outcomes
- For-Cause Investigations of Research Compliance Concerns
- Human Research Protection Program - Oversight Information
- Institutional Animal Care and Use Committee
- Institutional Review Board - Checklists
- Institutional Review Board - Forms
- Institutional Review Board - Policies
- Institutional Review Board - Standard Operating Procedures
- Institutional Review Board - Templates
- Institutional Review Board - Worksheets
- Investigator Manual HRP-103
- Library - Guide - Citation Styles
- Library - Guide - Citation Support Listing
- Office for Human Research Protections Database Information
- Office of the General Counsel - Academic Misconduct
- Recommended Syllabi Policy Statements
- Required Research Training Spreadsheet
- Research Animal Resources Services
- Research Compliance Office
- Research Compliance Office - NIH Training
- Research Compliance Office - NSF and USDA-NIFA Training
- Research Compliance Office - Training and Education
- Responsible Conduct of Research (RCR) Core Curriculum
- Student Academic Integrity Policy

- University System - Research Misconduct Policy
- University System - Resolving Alleged Student Conduct Code Violations Policy
- Writers Workshop - ESL Study Groups Fall 2017
- Writers Workshop - Preparing for a Consulting Session
- Writing and Information Literacy Rubric Spring 2017

2.S - Criterion 2 - Summary

The institution acts with integrity; its conduct is ethical and responsible.

Summary

Recognizing areas for development and improvement will facilitate UMD's ability to maintain integrity and responsible conduct. Continuous improvement examples related to Criterion 2 that are in-progress or forthcoming include:

1. Reviewing UMD shared governance procedures related to policy review and approval.
2. Completing website and marketing communications changes; monitoring effectiveness.
3. Continuing to collect, review, and resolve student complaints; improving processes as needed.
4. Continuing to support the ways in which Board of Regents practices are evolving (University of Minnesota Strategic Plan; System-wide goals; meetings at all system campuses; programmatic collaborations between and among System campuses).

Sources

There are no sources.

3 - Teaching and Learning: Quality, Resources, and Support

The institution provides high quality education, wherever and however its offerings are delivered.

3.A - Core Component 3.A

The institution's degree programs are appropriate to higher education.

1. Courses and programs are current and require levels of performance by students appropriate to the degree or certificate awarded.
2. The institution articulates and differentiates learning goals for undergraduate, graduate, post-baccalaureate, post-graduate, and certificate programs.
3. The institution's program quality and learning goals are consistent across all modes of delivery and all locations (on the main campus, at additional locations, by distance delivery, as dual credit, through contractual or consortial arrangements, or any other modality).

Argument

3.A.1. Within proposals for new academic programs (undergraduate; graduate), departments must document need and demand of society, employers, professional organizations, and/or student interest. Program review (described in Subcomponent 4.A.1.) is the primary process for ensuring programs maintain currency and appropriate levels of performance. Programs with specialized accreditations are reviewed on each accreditor's required schedule and standards. All other UMD academic programs undergo self-study and external review on a six- to eight-year cycle that includes evaluation of program mission and goals, program learning outcomes and objectives, curriculum, student learning assessment, and faculty composition and qualifications.

Programs are expected to demonstrate appropriate levels of student performance through course assessments consistent with the Course Numbering Policy's course-level distinctions. Course syllabi include course student learning outcomes and the requirements that align with each outcome (Syllabus Policy).

Program prioritization and optimization processes provide additional and ongoing means for evaluating program currency and performance levels. Based on the outcomes from prioritization activities conducted in 2013-14 (Quality Initiative Report), revised processes initiated in 2016 examined enrollment trends by major over eight years (undergraduate; graduate) to recognize external demands contributing to program relevancy. An updated set of Program Prioritization metrics will be designed and deployed before the end of Spring 2018.

Program optimization work during 2018 will integrate program details from program assessment plans, academic program strategic development questionnaires (draft form), and information from Campus Data Book files (table of contents). One outcome of the optimization processes will be ensuring student performance is appropriate to the degree/certificate as indicated by course levels within the program. Concerns warranting program changes will be addressed with the respective programs.

Several departments collect information regarding licensure, certification, or other standardized field exams to verify their programs maintain currency and are delivered at appropriate levels. As described in Subcomponent 4.A.6., these departments include Education, Communication Sciences and Disorders, Engineering (five departments), Chemistry and Biochemistry, and Mathematics and Statistics. Programs may also seek discipline-specific external review of the curriculum to ensure currency (examples: Human Resource Management, Financial Planning, Health Care Management).

In Fall 2009, the Liberal Education Task Force completed its review and recommended a new structure emphasizing language and reasoning skills, knowledge domains and related modes of inquiry, and contemporary key topics. Between Spring 2010 and Spring 2012, courses were reviewed for inclusion in the revised program, which took effect in Fall 2012. The Liberal Education Program differentiates student performance by course level within assessment practices. Though student learning outcomes for any course in a category are the same, the level of proficiency for conducting assessment varies for introductory and advanced courses as embedded within the category rubrics (example: Sustainability rubric and report form [introductory, advanced]). Compared to students in 1000- and 2000-level courses, students in 3000- and 4000-level courses are expected to demonstrate learning at higher performance levels.

Course and program information, including the history of documented changes to the course/program with dates, are maintained in University System-wide databases: Electronic Course Approval System (ECAS) and Program and Curriculum Approval System (PCAS). These systems feed information into other systems used for the Catalog, course registration, class schedules, and degree audits.

3.A.2. UMD's learning goals vary based on undergraduate versus graduate program and degree versus certificate program.

UMD participation in HLC's 2008 Assessment Academy cohort focused on undergraduate program assessment, which led to adopting six learning goals and nine learning outcomes (Campus Assembly November 10, 2009). Learning goals include:

1. Knowledge -- acquisition, construction, integration, application
2. Thinking -- cognitive complexity
3. Self-realization -- interpersonal development
4. Relationships -- interpersonal competence
5. Social responsibility -- civic engagement and humanitarianism
6. Life skills -- practical competence

Beginning in 2014, graduate programs developed learning goal categories, which overlap in some instances with the undergraduate learning goals, such as Knowledge, yet remain distinct to appropriately distinguish a graduate program from an undergraduate program. The Graduate Programs Committee formally adopted five learning goal categories in September 2017:

1. Knowledge and scholarly formation
2. Research and methodological skills relevant to the field
3. Communication skills
4. Leadership and collaborative skills
5. Cultural competence and global context formation of the field

The Assessment Subcommittee endorsed a set of definitions, characteristics, and expectations to

clarify the distinctions between undergraduate and graduate programs as well as degree and certificate programs (October 2, 2017 minutes). (Note: the document references undergraduate learning outcomes, which are referenced on the campus assessment website with the document.)

- "In cases where a discipline has an undergraduate program and a graduate program, program student learning outcomes will appropriately distinguish between the two degree levels such that graduate learning outcomes require a higher level of student performance than undergraduate learning outcomes.

- "The required scope and extent of learning outcomes (undergraduate) or learning goals (graduate) distinguish degrees from certificates.

    - Undergraduate majors will have at least one program learning outcome that aligns with campus learning outcome 6 for the advanced writing degree requirement and one or more program learning outcomes that align with campus learning outcome 1.

    - Majors should have one or more program learning outcomes that align with campus learning outcomes 2, 3, and 4, and may have additional program learning outcomes that align with campus learning outcomes 5, 7, 8, and/or 9.

    - Undergraduate certificate programs should have one or more program learning outcomes that align with campus learning outcomes 1, 2, or 3.

    - In cases where a discipline has an undergraduate degree program and an undergraduate certificate program, the number of program learning outcomes aligned with campus learning outcomes will be greater for the degree program than the certificate program.

- "Graduate degree programs have at least one program learning goal for each of the graduate learning goal categories (program learning goals must have at least one program learning outcome). Post-baccalaureate certificates have at least one program learning outcome that aligns with the knowledge and scholarly formation goal category and may have additional learning outcomes that align with one or more additional goal categories."

3.A.3. To ensure consistent program quality, any UMD program offered in multiple delivery modes and/or locations uses the same student learning goals and assessment processes.

Master of Business Administration, Duluth and Rochester campuses: Program learning goals and outcomes are the same regardless of location. Student learning assessment is conducted separately for each location (example: internal reports), which allows for analysis of student learning based on different class formats (Duluth's evening classes; Rochester's weekend classes), teaching methods, and instructor assessments. Any program change affects both locations.

Master of Environmental Health and Safety and Master of Engineering, Duluth and Mesabi Range College in Virginia, MN (named the Iron Range Engineering Education Program): Each degree program has the same program learning goals and outcomes for both locations. Student learning assessment is conducted together for the locations, which provides a larger sample size for analysis (2017 program assessment reports: Environmental Health and Safety; Engineering). Any program change affects all locations.

Undergraduate Psychology, hybrid and online only formats: Program learning outcomes are the same regardless of format, which allows for use of assessment data from courses using both delivery formats in program assessment. All of Psychology's online courses are also offered in an on-campus format (Spring 2018 PSY syllabi for courses offered in both formats).

Since any UMD course proposal requires the same form, a course offered in multiple delivery modes or locations uses the same learning outcomes. New online courses or existing course changes to online delivery formats require the Online Delivery Addendum. Information required helps to ensure faculty provide appropriate information, tools, and resources to students in a partially online to completely online course, consistent with the Online Learning Consortium Quality Scorecard. Programs may also use the Quality Matters online course evaluation framework to ensure online courses meet specific quality standards and incorporate learning outcomes; the University of Minnesota is a member institution.

College in the Schools (CITS) courses, which carry UMD credit but are delivered by high school teachers in their schools, undergo a rigorous oversight process by UMD faculty liaisons who teach in the respective discipline (see also Subcomponent 4.A.4). The UMD faculty liaisons are responsible for ensuring the high school teachers include the needed learning outcomes to meet UMD program and course quality standards, including criteria and learning outcomes specified for CITS courses that are part of the Liberal Education Program. Faculty liaisons also oversee the student learning assessment process.

Sources

- Academic Affairs - Curriculum Website
- Academic Affairs - Curriculum Website (page number 2)
- Academic Affairs - Curriculum Website (page number 4)
- Academic and Academic Support Program Review Schedule - Updated January 2018
- Academic Program Review Process and Details
- Academic Program Specialized Accreditations
- Academic Program Strategic Development Questionnaire - Draft January 2018.pdf
- Assessment Subcommittee - Minutes - 10-02-17
- Campus Assembly - Minutes - 11-10-09 - Campus SLOs and Liberal Education
- Campus Data Book - Fall 2016 Table of Contents
- Campus Learning Goals and Outcomes - Undergraduate
- CEHSP - Psychology Syllabi - Spring 2018 Courses Delivered Online and in the Classroom
- Center for Educational Innovation - Quality Matters
- CITS - Faculty Liaison Responsibilities
- Co-Curricular Assessment Community of Practice
- Course Numbering Policy
- Course Proposal Form
- Curricular and Co-Curricular Program Definitions, Characteristics, Expectations - Endorsed October 2, 2017
- Graduate Major Enrollment - 2008-2015
- Graduate Program Proposal Form
- Graduate Program Proposal Form (page number 3)
- Graduate Programs Committee - Minutes - 09-08-17.pdf
- Liberal Education Program - Task Force Report 2009
- LSBE - Financial Planning - CFP Board Review

- LSBE - Health Care Management - AUPHA Review
- LSBE - Human Resource Management - SHRM Review
- LSBE - MBA LO 5B Duluth and Rochester Internal Assessment Reports
- LSBE - MBA Program Learning Goals and Outcomes.pdf
- Online Course Addendum
- Quality Initiative Report for HLC Open Pathway - 2017
- SCSE - Master of Engineering - Program Assessment Report 2017 - Goal Category 2
- SCSE - Master of Engineering - Program Learning Goals and Outcomes
- SCSE - Master of Environmental Health and Safety - Program Assessment Reports 2017 - Goal Category 2
- SCSE - Master of Environmental Health and Safety - Program Learning Outcomes
- Sustainability Course Assessment Report Form - Advanced Level
- Sustainability Course Assessment Report Form - Introductory Level
- Sustainability Rubric
- Syllabus Policy
- Undergraduate Enrollment by Major - 2008-2015
- Undergraduate Program Proposal Form
- Undergraduate Program Proposal Form (page number 3)
- Undergraduate Psychology Major Student Learning Outcomes

3.B - Core Component 3.B

The institution demonstrates that the exercise of intellectual inquiry and the acquisition, application, and integration of broad learning and skills are integral to its educational programs.

1. The general education program is appropriate to the mission, educational offerings, and degree levels of the institution.
2. The institution articulates the purposes, content, and intended learning outcomes of its undergraduate general education requirements. The program of general education is grounded in a philosophy or framework developed by the institution or adopted from an established framework. It imparts broad knowledge and intellectual concepts to students and develops skills and attitudes that the institution believes every college-educated person should possess.
3. Every degree program offered by the institution engages students in collecting, analyzing, and communicating information; in mastering modes of inquiry or creative work; and in developing skills adaptable to changing environments.
4. The education offered by the institution recognizes the human and cultural diversity of the world in which students live and work.
5. The faculty and students contribute to scholarship, creative work, and the discovery of knowledge to the extent appropriate to their programs and the institution's mission.

Argument

3.B.1. UMD's general education program is called the Liberal Education Program (LEP). Liberal education integration was included within the institution's revised mission in 2011. The recommended revised LEP, approved November 2009 (Campus Assembly minutes) and effective 2012-13, contributes to students being "prepared, informed, and committed" to lifelong learning and global engagement.

The framework includes 10 categories that fall under 3 categories: communication and problem-solving skills, domain-specific knowledge, and citizenship-oriented topics.

- Language and Reasoning Skills - 9 credits
    - Writing and Information Literacy - WRIT 1120, 3 credits
    - Oral Communication and Languages - 3 credits
    - Logic and Quantitative Reasoning - 3 credits
- Knowledge Domains - 21 credits
    - Natural Sciences - 6 credits/2 course designators/1 with lab
    - Social Sciences - 6 credits/2 course designators
    - Humanities - 6 credits/2 course designators
    - Fine Arts - 3 credits
- Key Topics - 9 credits
    - Global Perspectives - 3 credits
    - Cultural Diversity in the U.S. - 3 credits
    - Sustainability - 3 credits

3.B.2. Primary resources shaping the current LEP framework included Association of American

Colleges & Universities (AAC&U) publications on Liberal Education and America's Promise (LEAP). Through additional research, committee retreats, public forums, and various meetings, the task force established the LEP mission:

"A liberal education prepares individuals to lead productive and socially responsible lives in a diverse and rapidly changing world. Liberal education at UMD helps students develop competencies that can be adapted for use in any occupation and by virtually any individual. Liberal education at UMD is not restricted to any particular part of the curriculum but is woven through each student's course of study, including core requirements and requirements for the major. Liberally educated students are 'Prepared, Informed, and Committed.'"

The 10 categories are intended to impart a broad range of knowledge and skill development and facilitate graduates' global engagement and social responsibility. Although the maximum number of credits is 39, students may take fewer total credits and still meet the category requirements. This occurs when a course is approved for a Knowledge Domain category as well as a Key Topics category. This LEP specification provides flexibility for students to use courses for multiple purposes and encourages departments to find creative ways of contributing to the LEP while also incorporating liberal learning into majors (task force report, p. 8).

A key modification to the LEP since 2009 supports UMD's Global 2020 Strategic Plan by providing a waiver of the Global Perspectives category for a student who successfully completes a UMD-approved Study Abroad Program. This waiver, proposed by the Liberal Education Subcommittee (March 3, 2015 minutes; November 11, 2015 minutes) recognizes the value of international educational experiences contributing to student development to be globally engaged citizens.

Additionally, the revised program intentionally promotes integration of liberal education throughout undergraduate degree programs by encouraging incorporation of LEP courses into majors and upper-division coursework. All degree-seeking undergraduate students complete the LEP except transfer students who previously completed an associate of arts degree, a baccalaureate degree at another accredited college or university, or the Minnesota Transfer Curriculum.

The 10 LEP categories align with 5 undergraduate campus learning outcomes. Each category has distinct learning outcomes that courses are required to include and assess (learning outcomes; Syllabus Policy). Faculty conducting course assessment and reporting results using the applicable category rubrics present a variety of ways to improve upon student learning in their courses. The course assessment report form requires an answer to the item, "Describe potential improvements in the instruction and/or assessment of this course based on the assessment results." As student learning assessment of the LEP progresses, the Liberal Education Subcommittee will be able to integrate category results to inform category- and program-level improvements to student learning and formal program review.

UMD publicly communicates the purposes, content, and learning goals of the LEP to students through the Catalog (includes LEP approved courses) and to faculty through the Academic Affairs website. Learning outcomes for each category are published on the LEP Assessment website, which provides links to both the student and faculty LEP pages.

3.B.3. UMD's undergraduate student learning assessment framework ensures degree programs include learning outcomes related to data collection and analysis through various modes of inquiry/creative work (outcome 2), communication (outcome 6), and problem-solving (outcome 3).

All undergraduate degree programs include the LEP (Undergraduate Degree Requirements) presented in 3.B.2., and proposed LEP courses are reviewed carefully to ensure category criteria are met and learning outcomes are sufficiently addressed (course review is described in Subcomponent 4.A.4.).

Through Knowledge Domain categories, students take courses that identify established modes of inquiry within the domain; explore ways in which scholars/researchers/practitioners investigate, test, and create knowledge; and explain how knowledge in the domain is professionally validated. These requirements are embedded within the category proposal forms as criteria and learning outcomes (Natural Sciences, Social Sciences, Humanities, Fine Arts).

Students take two LEP courses specific to collecting, analyzing, and communicating information, which are specified in criteria and learning outcomes. One course is Writing and Information Literacy (WRIT 1120, required), and the other is in Oral Communication and Languages. Undergraduate majors are also required to include an advanced writing course, and most use a discipline-specific WRIT 31xx course that reinforces WRIT 1120 outcomes and introduces more challenging performance levels.

Logic and Quantitative Reasoning courses teach students critical thinking and reasoning skills, which include learning to apply these skills to a variety of everyday situations.

Each of UMD's graduate degree programs have one or more program learning goals that align with each of the graduate learning goal categories, which include knowledge and scholarly formation, research and methodological skills relevant to field, and communication skills. Every program learning goal is measured by one or more learning outcomes.

3.B.4. UMD's mission of preparing students to be globally engaged citizens requires the institution to provide education to develop students' cultural competence.

The social responsibility undergraduate learning goal is measured in part by the learning outcome "apply understanding of cultural differences in diverse environments," which students demonstrate through the LEP's Global Perspectives and Cultural Diversity in the U.S. categories. Additionally, the LEP Sustainability category integrates the human/social aspect with economic and environmental aspects in alignment with the campus learning outcome, "contribute to local, national and global communities in which they live." Collectively, these courses direct students to recognize and think critically about local and global societies. Graduate degree programs provide education to achieve the learning goal category "cultural competence and global context formation of the field," which is specific to each discipline.

Undergraduate students may have additional degree requirements or may select minors or special programs emphasizing the importance of human/cultural diversity in the world:

- International Programs and Services: educational opportunities for students to Study Abroad
- College of Education and Human Services Professions: Deaf Studies Minor; Special Education Minor
- College of Liberal Arts: World Languages and Literatures Minors (7 options); American Indian Studies Minor; International Studies Minor; Lesbian, Gay, Bisexual, Transgender, Queer Studies Minor; Women, Gender and Sexuality Studies Minor
- Labovitz School of Business and Economics: International Business Minor; upper-division international course degree requirement

- [School of Fine Arts](#): Art History Minor

Beyond credit-bearing courses and programs, UMD provides educational opportunities recognizing diversity through a variety of co-curricular programs and events hosted by offices, centers, and clubs across the institution. Calendar examples include the [Office of Diversity and Inclusion September-November 2017 Events Calendar](#) and the [Alworth Institute Fall 2017 Program Summary](#).

UMD aims to increase the diversity of the students, faculty, and staff, to promote more educational experiences contributing to cultural competency development. More diversity is expected to increase student interactions with diverse others, which is indicated as an area for improvement based on [2016 National Survey of Student Engagement (NSSE) results](#).

3.B.5. Faculty and students conduct research and creative activity, which are embedded within [UMD's mission](#).

According to the University Education Association agreement ([Section 250.800](#)), faculty on regular appointment will conduct scholarly or creative activity in the area of the person's professional training or expertise. Tenure-track faculty research activities are evaluated in annual probationary reviews as well as promotion and tenure processes consistent with the departmental [7.12 statements](#) ([Section 201.700](#)), which include standards for scholarship/creative activity. Annual faculty merit review includes research and creative activity based on department and college expectations.

Scholarly work is also evaluated at the program/department level through [academic program reviews](#), with the expectation that scholarly work interfaces with the respective undergraduate and/or graduate programs. Scholarship was reinforced within 2013-14 Program Prioritization by evaluating departmental research and creative activity for [undergraduate](#) and [graduate](#) programs based on high priority activities (from 7.12) and 3-year totals of regional, national, and international presentations/performances/exhibitions, books, peer-reviewed journals, and other relevant items.

The scope of UMD's research, scholarship, and creative activity are evident in several ways. According to the NSF Higher Education Research and Development (HERD) Survey, UMD's research expenditures have remained steady or increased over a recent 5-year period: $21.5M (FY2012), $21.4M, $21.9M, $27.6M, $27.5M (FY2016). In 2016, UMD ranked 216th nationally for its expenditures among non-medical school institutions.

Based on data from January 2012 through December 2017 that faculty entered into the Works tool (Digital Measures), 200 faculty and research personnel reported active grants (note: because UMD adopted the tool University-wide in 2016 for use beginning in 2017, faculty may not have entered all information; therefore, [this Works report](#) is presented as a representative sample of grants).

During Fall 2017, UMD faculty were invited to report research and scholarship activity through the University of Minnesota "Experts" list that illustrates the significant extent to which faculty with profiles have developed [connections with researchers on national and international bases](#). UMD faculty have also developed a strong portfolio of creative and artistic activity engaging the community (example: [School of Fine Arts community engagement](#)).

In addition to the array of academic departments, UMD hosts research institutes that focus on natural resources and aquatic sciences: Large Lakes Observatory (LLO), Natural Resources Research Institute (NRRI), and Minnesota Sea Grant. These institutes provide graduate research opportunities

and support, as well as research infrastructures and educational outreach (examples: LLO and Blue Heron, NRRI, Sea Grant).

Undergraduate students pursue research and creative interests outside of regular courses in other ways. The 2016 NSSE survey showed 28 percent of UMD seniors reported participation in research with a faculty member, and 54 percent reported participation in an internship or field experience. The Undergraduate Research Opportunities Program (UROP) provides students across campus opportunities to collaborate with faculty mentors to design, implement, and present a research project (approximately 130 students participate in UROP each year). University Honors requires each student to complete a capstone scholarship project under faculty mentorship (72 students completed an Honors capstone project during the past three years). Underrepresented students may be selected to participate in the McNair Scholars Program providing support and research mentoring in preparation for graduate school (three UMD undergraduates were McNair Scholars in recent years).

Additional collegiate and departmental opportunities for undergraduate students include:

- School of Fine Arts: Creative opportunities for each department, such as the Art & Design Annual Student Show and Poster Design Competition, Music ensembles, and the Stage 2 student-run theatre organization.
- Swenson College of Science and Engineering: Biology Undergraduate Research in Science and Technology Program; Summer Undergraduate Research Program; Duluth Journal of Undergraduate Biology student research publication outlet.
- University Honors: Aisthesis student-led research publication outlet for Honors student projects.

Both graduate and undergraduate students have the opportunity to enroll in a department/discipline directed research xx94 course, in which the student and faculty develop a contract specifying the number of credits and work to be accomplished.

Independent research and other scholarship or creative works requirements for degree programs are key components of graduate education. Thirteen of UMD's graduate programs include a research-specific degree requirement that may be fulfilled by the Plan A Master's Thesis (166 graduates completed this option during the past three years). Twenty programs provide opportunities for substantial independent work through Plan B Projects (254 graduates completed this option during the past three years). Some programs offer students the option of completing a Plan A Thesis or Plan B Option as a degree requirement. UMD's Doctorate of Education (Ed.D.) program requiring a research component has graduated 10 students during the past three years (the program is described in more detail in Subcomponent 4.A.1.). UMD also contributes to System-level doctoral programs by offering coursework and faculty advising for Ph.D. programs in Water Resources Science and Integrated Biosciences.

UMD's Graduate School Office provides partial funding support to students making presentations of their independent research at regional and national meetings (typically 50 students per year). Similarly, UMD Academic Affairs provides full funding support to undergraduate students invited to make presentations at the National Conference for Undergraduate Research (NCUR) or other professional meetings (10-12 students per year).

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3.C - Core Component 3.C

The institution has the faculty and staff needed for effective, high-quality programs and student services.

1. The institution has sufficient numbers and continuity of faculty members to carry out both the classroom and the non-classroom roles of faculty, including oversight of the curriculum and expectations for student performance; establishment of academic credentials for instructional staff; involvement in assessment of student learning.
2. All instructors are appropriately qualified, including those in dual credit, contractual, and consortial programs.
3. Instructors are evaluated regularly in accordance with established institutional policies and procedures.
4. The institution has processes and resources for assuring that instructors are current in their disciplines and adept in their teaching roles; it supports their professional development.
5. Instructors are accessible for student inquiry.
6. Staff members providing student support services, such as tutoring, financial aid advising, academic advising, and co-curricular activities, are appropriately qualified, trained, and supported in their professional development.

Argument

3.C. Introduction: Faculty and Staff Classifications. All UMD faculty appointments of more than 35% time and more than 67 days per calendar year are members of the University Education Association (UEA). The UEA establishes a collective bargaining agreement with the Board of Regents to specify faculty rights and responsibilities. University of Minnesota staff are classified as Professional and Administrative (P&A), Civil Service, or labor represented. Civil Service employees are subject to Civil Service Employment Rules. Common labor-represented bargaining units for UMD staff include AFSCME Clerical & Office and Teamsters. The current collective bargaining agreements for these units were approved by the Board of Regents in February 2018. The 2017-2019 AFSCME contract is provided; the Teamsters contract was not posted when the Assurance Argument was finalized (previous contract: Teamsters 2015-2017).

3.C.1. UEA Unit Workload standards (250.000) and regular monitoring of student-to-faculty ratios help ensure adequate numbers of faculty are employed to meet student enrollment demands.

Teaching and professional service responsibilities ensure faculty oversee curricula and are involved in student learning assessment. Faculty primarily oversee curricular matters within departments and collegiate shared governance committees with additional oversight as applicable for specific programs within campus shared governance (faculty representation in campus shared governance). For example, the campus Liberal Education Subcommittee oversees the LEP curriculum, and the Graduate Programs Committee oversees graduate program curricula (for details refer to Subcomponent 4.A.4.).

Sufficient numbers of faculty better allow each faculty member opportunities to fulfill specified teaching and learning instructor responsibilities, including giving students feedback and grading

promptly. Assessment of student learning is included within faculty teaching responsibilities at the course level (conducting assessment, analyzing results, identifying and implementing changes to improve student learning), whereas program assessment reporting is recognized as service to the department/college (Works faculty assessment documentation instructions).

UMD faculty liaisons verify that high school instructors teaching dual-credit College in the Schools (CITS) courses possess appropriate credentials to meet UMD quality standards (faculty liaison roles).

3.C.2. The UEA agreement states "A Member shall not be assigned to teach in subject areas in which s/he does not possess adequate professional training or expertise" (250.520), and UMD's Faculty Qualifications Policy provides minimum standards for faculty qualifications based on HLC's assumed practice. The Labovitz School of Business and Economics maintains its own EVCAA-approved Faculty Qualifications Policy to meet specialized accreditation standards.

During 2017-18, the qualifications for UMD faculty teaching one or more courses were evaluated against the policy. The faculty whose highest degree is the same level as the courses they teach were reviewed under the new policy using equivalent experience factors (excluding CITS teachers; UMD received the HLC extension to 2022 for CITS high school teachers to meet Faculty Qualifications Policy standards). The Faculty Qualifications Verification Form was also implemented for use in the hiring process during the current year (original form; revised form).

3.C.3. The UEA agreement specifies instructor evaluation processes, and department and/or college policies identify appropriate evaluation criteria. With the exception of independent study, internship, and individual instruction courses, every UMD course is evaluated using standard forms (202.000). Each faculty submits at least 50 percent of his/her teaching evaluations per academic year for personnel decision purposes.

Every full-time faculty member uses Works to complete the Academic Record File (ARF) for annual merit reviews, which occur at the college level. Teaching materials include course evaluations described previously, along with supporting materials to document teaching work such as time teaching, professional development in the area of teaching, and course improvements related to student learning assessment.

Tenure-track faculty are reviewed annually relative to teaching expectations outlined in departmental 7.12 statements (201.600). Initial review is done by the department's tenured faculty and is followed by reviews from the Dean, EVCAA, and Chancellor. The same process is used for promotion and/or tenure review decisions, involving a greater degree of evidence and explanation within the faculty portfolio (201.400).

Tenured faculty review helps to ensure effective and high quality teaching is maintained once tenure is granted. If performance falls below established goals and expectations, the review process follows UEA procedures outlined in 201.700.

3.C.4. The institution has processes and resources for assuring that instructors are current in their disciplines and adept in their teaching roles; it supports their professional development.

The Board of Regents established guiding principles to support a culture of excellence, continued learning to achieve success, and development related to position responsibilities (Employee Development, Education, and Training Policy).

Assuring faculty are adept teachers begins during the selection process. Many departments across campus require applicants to deliver a teaching presentation during on-campus visits (examples: Psychology, Finance).

Each fall, all new faculty regardless of teaching load and appointment type are invited to attend new faculty orientation to obtain information regarding teaching support on campus, such as course technology and faculty workshops.

Campus-wide, the Center for Excellence in Teaching and Learning (CETL) provides teaching-related workshops, events, and personalized assistance for faculty throughout the year (CETL replaced the Instructional Development Service in 2014-15). Professional development in the area of student learning assessment is provided in partnership between CETL and UMD Campus Assessment (example: Fall 2017 workshops).

Opportunities supporting faculty development within their disciplines include sabbaticals up to 12 consecutive months (601.000), single-semester leaves (602.000), and graduate study (110.000). Academic Affairs provides grant opportunities for faculty, which most recently includes EVCAA Research and Scholarship Grants (up to $5K per faculty based on an application process). Additionally, mentoring support and travel funds to speak in-person with funding program officers in Washington, D.C. is available through the "Getting External Grants: Support for Early Career UMD Faculty and Research Staff" initiative.

System-wide support includes:

- International travel grants from the Global Programs and Strategy Alliance Office
- Grant-in-Aid support for research and scholarship from the Office of the Vice President for Research
- Funds for proposal development, such as "Updraft" or "On the Horizon," through the Office of the Vice President for Research
- Leadership training for graduate students, post-doctorates, and early career faculty through the Institute on the Environment (IonE) Boreas Program (Boreas Leadership Workshop UMD announcement)
- IonE faculty affiliation and participation in IonE programs and activities
- A range of University Awards to recognize and support exceptional scholarship

Additional support at UMD includes the Writers' Workshop for preparing grant proposals, articles, and reports, training on System-wide tools and job requirements (example: Canvas transition for teaching beginning Fall 2017), and webinars through service providers such as the National Center for Faculty Development and Diversity. The Educational Technology and Training Team in ITSS supports faculty using technology through designated educational technologists for each college who provide faculty workshops and offer individualized consulting.

Faculty development provided by colleges varies to meet their unique needs.

- College of Education and Human Services Professions: Faculty support for conference travel; Faculty Small Grants for teaching, research, and service projects; activities provided by the Senate Executive Council; an all-college retreat at the start of every academic year

- College of Liberal Arts: New Faculty Mentoring and Orientation Program
- Labovitz School of Business and Economics: Faculty Grants; Entrepreneurship Research Grants; Dean's Research Publications Funding Program; Dean's Travel Fund Grants; Technology Grants; New Faculty Funds
- Swenson College of Science and Engineering: Faculty Mentoring Program; Leadership Training; Active Learning Training; Active Learning Cohort Program; Excellence in Civil Engineering Education Program (open to all faculty); activities provided by the college's Committee on Teaching and Learning

3.C.5. The UEA Agreement specifies faculty accessibility to students:

- 113.600: "A vital part of each Member's profession is h/her reasonable and ready accessibility to students since consultation with Members is not a student's privilege but every student's right."
- 250.700: "Each Member shall post a reasonable number of office hours per week at a time convenient for students and shall be available during such hours for the purposes of consultation with students."
- 250.730: In addition to course office hours, faculty are available for students to accommodate advising responsibilities. Undergraduate faculty advisors establish and communicate advising hours each semester to coincide with student registration timelines.

Accessibility is reinforced by instructor responsibilities: "Instructors shall post a reasonable number of office hours per week at a time convenient for students and shall be available during such hours for the purposes of consultation with students." Faculty provide office hours in course syllabi.

3.C.6. Student support staff, primarily classified as P&A and Civil Service, must be appropriately qualified for their positions before an employment offer may be extended. The hiring process is guided by a series of Human Resources tools and guidelines to screen and select qualified applicants.

The University of Minnesota's job-family project during 2013-2015 updated more than 9,000 position descriptions across the System and provided a means for reclassification. The new job-family definitions provide a structure and context to consider organizational needs as job postings are created and to ensure current that staff remain qualified.

The Board of Regents Employee Development, Education, and Training Policy, which establishes the guidelines for ongoing employee training and development opportunities, provides tuition benefits for eligible employees to take University credit-bearing courses at reduced tuition costs (Regents Scholarship Program). P&A employees may apply for leaves to learn through activities such as internships, research, scholarly writing, and curriculum development in accordance with the Professional Leave Policy.

The Office of Human Resources offers ongoing internal training opportunities through the ULearn system, which includes online training and a means to document completed classroom trainings. Staff commonly attend workshops to facilitate their work with students, such as Google Tech Jam Sessions; Safe Space Training; Student Rights, Protests and Free Speech; Creating Inclusive Campus Environments; and Emergency Response Training.

Specific student support areas facilitate staff members' professional development through professional associations, conferences, and required training where applicable. Two examples include:

- Academic Writing and Learning Center: TESOL International Association Conference; International Writing Center Association; National College Learning Center Association
- College Advising Offices: Student Affairs Professionals in Higher Education; office-specific training such as book discussions (example: *Thriving in Transitions: A Research-Based Approach to College Student Success*)

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3.D - Core Component 3.D

The institution provides support for student learning and effective teaching.

1. The institution provides student support services suited to the needs of its student populations.
2. The institution provides for learning support and preparatory instruction to address the academic needs of its students. It has a process for directing entering students to courses and programs for which the students are adequately prepared.
3. The institution provides academic advising suited to its programs and the needs of its students.
4. The institution provides to students and instructors the infrastructure and resources necessary to support effective teaching and learning (technological infrastructure, scientific laboratories, libraries, performance spaces, clinical practice sites, museum collections, as appropriate to the institution's offerings).
5. The institution provides to students guidance in the effective use of research and information resources.

Argument

3.D.1. As a public, comprehensive institution, UMD enrolls a wide variety of student populations and provides a wide variety of services to support diverse student learning needs. For example, 15 percent of the Fall 2017 New High School cohort are students self-identifying as groups from underrepresented and international populations (All Student Profile data). The average composite ACT score is 24.10, and category scores range from 20.87 (writing) to 24.84 (reading).

Student resources, listed on the Current Students website, include support services from Academic Affairs and Student Life divisions for various student populations:

- Disability Resources facilitates reasonable and appropriate learning accommodations for students with disabilities.
- Health Services offers free and confidential counseling to students.
- The Office of Diversity and Inclusion provides professional academic advising to international students, student mentoring and tutoring for underrepresented students, and women support services, such as a nursing parents' room available to students.
- The American Indian Learning Resource Center provides advising and assistance for American Indian and Alaskan Native students.
- Veterans Services provide information and assistance to veterans receiving educational benefits.
- Career and Internship Services offers major- and career-exploration services.
- Live Like a Student educates students on topics of student loans, debt, credit, spending and identity theft.
- One Stop Student Services provides walk-in counseling on finances, forms, printed information, and records review.
- The Students in Transition Office provides assistance for students in dual-credit courses as well as transfer students and non-degree seeking students. The office also trains student leaders to work in student orientation activities.

3.D.2. UMD primary admissions criteria ensure entering students meet standards shown to predict

student success, including the completion of high school preparation courses, GPA, and ACT/SAT scores. Secondary factors may also be considered for conditional acceptance, and students are directed toward appropriate learning support instruction as determined in the admissions process.

During summer months, new students attend Orientation, Advisement, and Registration sessions specific to their majors/colleges to register for courses and receive academic information from professional academic advisors. A faculty advisor or professional academic advisor provides each student individualized advising for course selections. The advisor reviews the student's record, including completed transfer course decisions and ACT/SAT scores, to identify specific courses for Math and Writing placements (example advising summaries: College of Education and Human Service Professions, College of Liberal Arts). Students opting to take Foreign Languages courses are provided course placement guidelines based on completed high school language coursework. Students with conditional admission status may also be guided toward Supportive Services Program academic skills courses.

All incoming first-year students participate in Bulldog Welcome Week beginning the Wednesday before the fall semester begins. During various sessions and events, students become more familiar with the academic expectations of their programs and have the opportunity to connect with student organizations and campus resources. Most first-year students also complete UMD Seminar, which includes 1- and 2-credit options, delivered in fall semester and designed to facilitate students' academic success.

Students in any year of study may utilize learning support opportunities located in the Learning Commons within the Kathryn A. Martin Library. The Academic Writing and Learning Resource Center includes the Writers' Workshop (for any student in any course) and Tutoring Center (for students in specific courses/disciplines). The Securian Math Learning Lab provides tutoring assistance for introductory math courses.

3.D.3. UMD utilizes a decentralized and collaborative academic advising model to provide customized advising for each collegiate unit and its programs. Each college maintains its own advising office staffed with professional academic advisors who coordinate the respective units' student advising activities and procedures. Faculty also advise students within their respective programs and consult with professional advising staff.

The professional academic advisors maintain a comprehensive set of responsibilities for advising students; training faculty to advise students; processing and coordinating student forms affecting registration; and collaborating with advising partners to deliver and support student advising activities. In 2011, all professional academic advisors formed the Academic Advising Committee (AAC) to better organize academic advising processes across units where appropriate and to share information. The AAC also participates in campus-wide advising activities (the coordinating office is listed in parentheses):

- Campus Preview (Admissions)
- Bulldog Fridays (Admissions)
- Admitted Student Days (Admissions)
- National College Fair, held on the Twin Cities campus (Admissions)
- Advisement and Registration (Students in Transition)
- Welcome Week Workshops (Students in Transition)
- Major/Minor Expo (Academic Advising Committee)

- Family Weekend (Student Life)
- Champ Saturdays (Admissions)
- Summer Expo (Enrollment Management)
- Academic Link (Student Life - publication for students and families)
- Slice and Advice (Housing)

Advising within each college is designed to meet the needs of their student populations. For example, the College of Education and Human Service Professions advising staff developed an Advising Module in Moodle/Canvas as a means for students to learn how to read the UMD Catalog (example: Sample Plan), LEP requirements, and the Academic Progress Audit System (APAS; the degree audit system).

Additional technology tools used in academic advising processes include APLUS, "My Advisees" in the Advisor Center on MyU Portal, Campus Solutions (PeopleSoft), Graduation Planner, Schedule Builder, Advisor Connect (mass emailing system), and the CollegeSource Transferology system. Students use APAS, Graduation Planner, and Schedule Builder alongside professional academic advisors and faculty advisors for planning and ensuring progress on degree completion.

Recognizing the critical role of academic advising in student persistence and graduation, each unit's professional academic advisors met with the Assistant Vice Chancellor of Student Enrollment Management to review analyses of at-risk student indicators and begin to address concerns based on student needs (refer to Subcomponent 4.C.3.).

Student-athletes in UMD athletics receive academic advising to ensure their degree progress each semester in accordance with NCAA and conference requirements. Students who self-report as a student of color may meet with secondary advisors from the Office of Diversity and Inclusion.

3.D.4. UMD provides students and instructors resources necessary for effective teaching and learning.

UMD's Information Technology and Systems Services (ITSS) partners with the System's Office of Information Technology (OIT) to maintain course management systems. In April 2017, the System Provost finalized the decision to remain in the Unizin consortium and to transition from Moodle to Canvas over a two-year period. ITSS educational technologists then began working with faculty to determine plans for putting courses on Canvas. Additional support through workshops and online resources are available as faculty learn the new system. OIT also delivers internet services, which are maintained locally by ITSS. During 2017, the network system was upgraded to enhance security features. ITSS is fully responsible for multiple computer labs across campus and provides hardware and software upgrades as needed.

The Kathryn A. Martin Library supports teaching and research through more than 300 databases, indexes, and data repositories in addition to library collections. Professional reference librarians are designated to academic departments to assist undergraduate students, graduate students, and faculty. Students and faculty also have access to hundreds of thousands of books and journals on site, millions of physical materials via the University of Minnesota Get-It resource sharing program, and an interlibrary loan program.

The Tweed Museum of Art (collections; exhibitions) and Glensheen Mansion are used as learning labs by faculty and students of all ages. Having access to these facilities prompted the development of the Museum Studies Certificate, which began Fall 2015. In Fall 2016, UMD welcomed Shakespeare's

First Folio exhibition.

The School of Fine Arts also provides various art and design studios, music practice spaces (individual instruction and ensembles), a dance studio, and venues for public performances each year. Venues include the Weber Music Hall, Marshall Performing Arts Center, and Dudley Experimental Theatre. The Viz Lab and the Motion and Media Across Disciplines (MMAD) Lab provide students and faculty access to 3D printing, state of the art projection, data visualization, and high-definition video production.

Natural sciences disciplines have classroom laboratories in multiple buildings, such as the Swenson Science Building, Chemistry, and Heller Hall. The Chemistry and Advanced Materials Sciences building, currently being built, will include modern lab spaces. Other campus facilities include the Geospatial Analysis Center, the Research Instrumentation Laboratory, the Marshall W. Alworth Planetarium, and the greenhouse. Off-campus, faculty and students may work with researchers and staff at the Natural Resources Research Institute (NRRI) facilities or aboard the Blue Heron, a research vessel within the Large Lakes Observatory that is housed in the St. Louis Bay for access to Lake Superior.

Other disciplines with laboratories and special learning facilities include engineering (example: Civil Engineering), the Geography Soils Lab, Psychology experiments lab, Financial Markets Lab, Marketing Analytics Lab, and Exercise Science labs. The Department of Communication Sciences and Disorders houses the Robert F. Pierce Speech-Language-Hearing Clinic, which is a teaching facility for students entering the field. Outdoor learning spaces for various programs on campus include the Bagley Nature Area and Classroom and the 18,000-acre Boulder Lake Environmental Learning Center.

3.D.5. UMD's LEP Writing and Information Literacy course (WRIT 1120) and WRIT 31xx courses include an information literacy learning outcome. In WRIT 1120 students are introduced to the effective use of information resources in the library through two mid-term library sessions led by reference librarians and accompanied by online tutorials, exercises, and research guides. The first session focuses on keyword generation, library homepage use, and MNCAT search. The second session addresses differences between scholarly and popular sources and how to search general and subject databases.

Through the Kathryn A. Martin Library, undergraduate and graduate students may contact a librarian for assistance via online chat, text, phone, or in person. Students have access to discipline-specific (example: American Indian Studies) and course-specific (example: Strategic Management) resource guides Librarians created in consultation with faculty. The Graduate Student Handbook includes a description of library resources available.

Students may also receive assistance in the effective use of information resources through sessions with Writers' Workshop consultants.

Also see Subcomponents 2.E.2. and 3.B.3.

Sources

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- Advisor Connect Screenshot
- All Student Profile - Fall 2017
- American Indian Learning Resource Center
- APAS Screenshots
- APLUS Screenshot
- Bulldog Welcome Week - Overview
- Bulldog Welcome Week Schedule 2017
- Career and Internship Services - Choosing a Major
- CEHSP - Boulder Lake - Educator Training
- CEHSP - Exercise Science Labs
- CEHSP - Math Sequencing by Major Fall 2017
- CEHSP - Psychology Research Labs
- CEHSP - Robert F Pierce Speech and Hearing Clinic
- CLA - Course Placement Web Page
- CLA - Foreign Language Course Placement Information
- CLA - Museum Studies Certificate
- CLA - Soils Laboratory
- CLA - WRIT 1120 College Writing Handbook
- CLA - Writing Program Learning Outcomes
- Current Students Landing Page
- Disability Resources - Student Accommodations
- Glensheen
- Graduation Planner Screenshots
- Health Services - Counseling
- High School Preparation Requirements
- International Student Services - Academic Advising
- ITSS - Computer Labs
- ITSS - Educational Technology - Canvas Transition Support
- Library - Interlibrary Loan
- Library - Librarian Course Resource Guide - MGTS 4481 and MBA 8411 Strategic Management
- Library - Librarians by Subject
- Library - Research Help Website
- Library - Subject Research Guide - American Indian Studies Example
- Library - Subject Research Guides Website
- Library - WRIT 1120 Research Guide - Home Page
- Library - WRIT 1120 Tutorials and Exercises
- LSBE - Financial Markets Program Lab
- LSBE - Marketing Analytics Lab
- Natural Resources Research Institute - Facilities
- Office of Diversity and Inclusion - Programs and Services
- One Stop - Financial Wellness Education
- One Stop - Student Services Office Contact Information
- One Stop - Veterans Resource Center
- PeopleSoft Screenshots
- Professional Academic Advisor Responsibilities
- Schedule Builder Screenshots
- SCSE - Bagley Nature Area and Classroom
- SCSE - Civil Engineering Facilities and Equipment
- SCSE - Geospatial Analysis Center

- SCSE - Greenhouse
- SCSE - Large Lakes Observatory - Blue Heron Description
- SCSE - Marshall W. Alworth Planetarium Theatre
- SCSE - Research Instrumentation Lab
- Securian Math Lab
- SFA - Marshall Performing Arts Center and Dudley Experimental Theatre
- SFA - Music Facilities including Weber Music Hall
- SFA - Tweed Museum Collections Brochure
- SFA - Tweed Museum Exhibitions - January-June 2017
- SFA - Viz Lab and MMAD Lab
- Shakespeares First Folio Fall 2016
- Student-Athlete Academic Advising
- Students in Transition Office
- Supportive Services Program - Courses
- Transferology Screenshots
- Tutoring Center
- UMD Academic Advising Model
- UMD Catalog - Sample Plan Example
- UMD Graduate Student Handbook - 2017-18
- UMD Graduate Student Handbook - 2017-18 (page number 30)
- UMD Seminar Course - Website
- UMD Seminar Options
- Undergraduate Admissions - Secondary Admissions Factors
- University System - Unizin Consortium
- Writers Workshop - Preparing for a Consulting Session
- Writers Workshop - Student FAQ

3.E - Core Component 3.E

The institution fulfills the claims it makes for an enriched educational environment.

1. Co-curricular programs are suited to the institution's mission and contribute to the educational experience of its students.
2. The institution demonstrates any claims it makes about contributions to its students' educational experience by virtue of aspects of its mission, such as research, community engagement, service learning, religious or spiritual purpose, and economic development.

Argument

3.E.1. UMD provides a wide variety of co-curricular programs suited to the institution's mission that positively contribute to students' comprehensive educational experiences.

Co-curricular programs may be formally recognized in their contributions to student learning through campus assessment practices. UMD defines co-curricular programs for assessment as structured, student-centered programs that promote students' academic, personal, and/or professional growth and development.

These programs' learning outcomes are oriented toward attainment of UMD's self-realization and life skills campus learning goals and outcomes, and may be aligned with other learning goals and outcomes (Undergraduate Student Learning Outcome Framework). Co-curricular programs conducting assessment and the learning they provide students are described below. During Spring 2018, programs are updating their assessment plans using a new form, and approved plans are posted on the Assessment Plans page of the Assessment of Student Learning website (assessment plans posted by February 28, 2018 are designed by * in this list).

- Academic English Language Program: supplementary coursework to increase English language proficiency of students for whose primary language is not English

- Academic Advising: counseling and workshops related to academic requirements and professional development opportunities

- Career and Internship Services: counseling and workshops regarding personal career exploration as well as career search processes

- Disability Resources: counseling related to accessibility rights and campus processes

- Health Services*: workshops, counseling, and events to promote student health and wellness

- Honors Program: integrated living-learning experiences promoting academic and community engagement

- International Programs and Services: educational support services for Study Abroad Programs and international students at UMD

- Student Conduct and Conflict Management: counseling related to appropriate behaviors and

decision-making to foster a community for academic success

- Academic Writing and Learning Center*: learner-centered courses to prepare students for college-level work, and training courses for peer tutors and instructional leaders

- University Seminar*: a course providing incoming freshmen an introduction to academic, social, and personal opportunities at UMD while developing students' self-reflection and learning skills

- UMD Library: information literacy instruction as a component within WRIT 1120

Additionally, student-run organizations promote student leadership and community engagement on- and off-campus. As of October 1, 2017, Kirby Student Center recorded 306 student organizations across Greek life, political/social action, religious, special interest/hobby, professional/department/honorary, and sports/recreation categories. Registered organizations benefit by participating in campus-wide events, conducting fundraisers on campus, communicating through UMD-approved channels, and applying for Student Association grants. Membership in any student organization is optional.

3.E.2. As specified in UMD's mission, research/creativity activity and public engagement contribute to students' educational experiences. Collectively, these activities support UMD's vision to be central to the cultural, economic, and intellectual life of Duluth and surrounding communities.

Primary campus activities include student participation in internship and practicum courses and the Undergraduate Research Opportunities Program (UROP; described in Subcomponent 3.B.5.). Since Fall 2012, course enrollment data for internship and practicum courses ranged from 1593 to 1912 students per semester.

A sampling of educational experiences presented by each college includes:

- College of Education and Human Service Professions: The college and departments provides funding support for student research presentations at regional or national conferences; Psychology co-sponsors the annual Twin Ports Undergraduate Psychology Conference with other local colleges; Education majors host family reading nights in Duluth area schools and volunteer to assist low-income families at the Steve O'Neil Apartments; Communication Sciences and Disorders students provide screening services at local events.

- College of Liberal Arts: Students may contribute scholarly writing to Aisthesis, a national honor student journal (the University Honors Program Director is currently a CLA faculty member).

- Labovitz School of Business and Economics: The summary provided includes information about recent UROP projects; Student-to-Business Initiative Projects; other course-embedded business projects; field visits; Undergraduate Research Assistantship projects completed at the Bureau of Business and Economic Research; the Entrepreneurship Conference (student-led); and the Shark Tank Competition (student-led).

- School of Fine Arts: Art Education majors are required to complete 30 hours of community service; Music and Arts Education majors instruct within the Fine Arts Academy that provides

arts education for children in the community; Music majors may participate in local performance groups such as Lyric Opera of the North, Duluth-Superior Symphony Orchestra, Duluth-Superior Symphony Orchestra Chorus, Arrowhead Chorale, and the Twin Ports Wind Orchestra.

- Swenson College of Science and Engineering: Activities, such as Concrete Canoe, American Concrete Institute, and Clean Snowmobile Challenge, are partially funded by the College through fees; industry sponsors Mechanical Engineering Capstone Design Team Projects; students complete sustainability service-learning course projects; and the college pays a portion of student expenses for National Conferences on Undergraduate Research (NCUR) presentations.

Sources

- Aisthesis Journal - 2017 Call for Submissions
- Assessment of Student Learning Website - Assessment Plans Page
- Curricular and Co-Curricular Program Definitions, Characteristics, Expectations - Endorsed October 2, 2017
- Kirby Student Center - Student Organization Benefits
- Kirby Student Center - Student Organizations and Clubs
- LSBE - Summary of Supplemental Student Experiences
- Total Enrollment in Internship and Practicum Courses - 2012-2017
- Undergraduate Student Learning Outcome Framework

3.S - Criterion 3 - Summary

The institution provides high quality education, wherever and however its offerings are delivered.

Summary

Because teaching and learning are core to UMD's mission, continuing to improve upon quality, resources, and support as appropriate is essential. Continuous improvement examples related to Criterion 3 that are in-progress or forthcoming include:

1. Completing the internal Liberal Education Program review and conducting an external review.
2. Exploring opportunities related to a higher Carnegie research classification.
3. Ensuring compliance with UMD's Faculty Qualifications policy, including CITS teachers.
4. Expanding One Stop Student Services to include new and transfer student programs from the Office of Students in Transition and additional activities as determined.
5. Improving the on-boarding and ongoing development of faculty.

Sources

There are no sources.

4 - Teaching and Learning: Evaluation and Improvement

The institution demonstrates responsibility for the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness for student learning through processes designed to promote continuous improvement.

4.A - Core Component 4.A

The institution demonstrates responsibility for the quality of its educational programs.

1. The institution maintains a practice of regular program reviews.
2. The institution evaluates all the credit that it transcripts, including what it awards for experiential learning or other forms of prior learning, or relies on the evaluation of responsible third parties.
3. The institution has policies that assure the quality of the credit it accepts in transfer.
4. The institution maintains and exercises authority over the prerequisites for courses, rigor of courses, expectations for student learning, access to learning resources, and faculty qualifications for all its programs, including dual credit programs. It assures that its dual credit courses or programs for high school students are equivalent in learning outcomes and levels of achievement to its higher education curriculum.
5. The institution maintains specialized accreditation for its programs as appropriate to its educational purposes.
6. The institution evaluates the success of its graduates. The institution assures that the degree or certificate programs it represents as preparation for advanced study or employment accomplish these purposes. For all programs, the institution looks to indicators it deems appropriate to its mission, such as employment rates, admission rates to advanced degree programs, and participation rates in fellowships, internships, and special programs (e.g., Peace Corps and Americorps).

Argument

4.A.1. Every UMD undergraduate and graduate academic degree program is reviewed on a regular and ongoing cycle of six to eight years, except specialized accredited programs that follow their accrediting agency timelines. Academic support programs, including the Honors Program, International Programs and Services, and the Liberal Education program, are reviewed on a seven- to nine-year cycle. The Executive Vice Chancellor for Academic Affairs (EVCAA) oversees the academic program review procedures, which include self-study and external peer evaluation (academic program peer review process; academic support program review process).

The academic program review self-study involves evaluation of faculty, curriculum (including assessment), graduate program (if applicable), scholarship and creative activities, outreach, alumni relations (including graduate placement), resources, administration, and planning. The self-study also provides a response to the previous review (example: Department of Mathematics and Statistics Self-Study).

The external peer evaluation requires a site visit. At the end of the visit, the reviewers present a key

findings summary to the EVCAA, Associate Vice Chancellor(s), and Dean. These administrators discuss the final external review report with the department, and the Dean sends a summary report to the department indicating areas of agreement and disagreement as well as suggestions and concerns from the external reviewers to pursue, such as programmatic and/or curricular changes (example: Department of Mathematics and Statistics External Review Report, Dean's Report).

The subsequent program review includes actions and outcomes related to the Dean's report as part of closing-the-loop processes (example: Department of Mathematics and Statistics Department Report).

The Doctorate of Education (Ed.D.) program review conducted in 2013-14 demonstrates the extent to which review data and findings are analyzed. After careful consideration of external reviewer concerns and a follow-up internal Graduate Council review, academic administrators suspended admissions to the program until concerns could be adequately resolved (admissions currently remain suspended). Education Department graduate faculty have worked to update the Ed.D. program, and satisfactory resolutions to the issues are still being developed. The focus of UMD and graduate faculty is supporting the remaining students in the current cohorts to successfully complete the program (the most recently admitted cohort began in Summer 2014). Upon current students' completion of the program, the capacity of the college to support the Ed.D. will be reassessed.

4.A.2. UMD faculty evaluate credits the institution transcripts. Campus policies establish standards for assigning credits and course numbers and for ensuring quality (described in Subcomponent 4.A.3).

Transfer course review decisions involve whether UMD credit will be awarded, in what subject area, and for which course number. An approved transfer course is accepted as a direct equivalent to a UMD course, a departmental elective without direct equivalent, or "Tran" to indicate the course transfers without a specific departmental designator. A student may submit an Academic Petition to request review of a departmental elective or "Tran" course to fulfill a Liberal Education Program category, which is determined by the Associate Vice Chancellor for Undergraduate Education based on the category criteria and learning outcomes.

Transfer evaluation procedures are presented to students on the One Stop student services website. The procedure depends on the type of educational experience evaluated for credit:

- Coursework:
    - Regionally accredited U.S. colleges/universities: The Office of the Registrar initiates transfer reviews for any course not previously reviewed at UMD. Students are encouraged to submit a course syllabus whenever possible to attach to the Transfer Course Evaluation form. The form and syllabus are sent to the department where the course is most likely to be offered, and one or more faculty review the course to determine the transfer decision. In cases where a syllabus is not available, Registrar staff initiate the review using the Transfer Evaluation System (TES) from CollegeSource, and program evaluators determine course equivalency based on the course description and additional details available through provided online college/university resources.

    - Postsecondary colleges/universities outside the U.S.: International transfer credit evaluations must come to the Registrar from approved external credit evaluation services, including Education Credential Evaluators, World Education Services, or an affiliate of the National Association of Credential Evaluation Services. The review follows the same process described above, using the Transfer Course Evaluation form. TES is not used.

- Study Abroad Programs: UMD students who intend to participate in a Study Abroad program are instructed to have potential courses reviewed prior to departure. The process is coordinated through the Study Abroad office and requires students to consult with faculty for course reviews using the Study Abroad Academic Planning form.

- Examinations: Registrar staff coordinate the process for faculty to review exams administered by College Level Examination Program (CLEP), the Defense Activity for Non-Traditional Education Support (DANTES/DSST), International Baccalaureate (IB), and College Entrance and Examination Board Advanced Placement (AP) Program. Students may also request credit by examination at the department level.

- Prior Learning: A currently enrolled student may initiate a request for review of prior experience, such as participation in government, military, or employment, for credit within one year of matriculation or completion of the experience(s). Reviews are completed by academic departments.

The Registrar documents transfer course decisions, which are valid for five years, and initiates the re-review process. The Registrar also tracks UMD course changes in the University course-management system that could affect transfer course equivalencies. Externally, the Registrar monitors course changes at UMD's top ten transfer institutions and surrounding community colleges.

4.A.3. UMD policies that assure the quality of credits accepted for transfer include:

- Transfer of Undergraduate Credit: Non-remedial, credit-bearing courses with a grade of D or higher from regionally accredited institutions may be accepted based on faculty review.

- Transfer of Graduate Credit (University Graduate School Policy): A limited number of non-thesis credits may be transferred to master's or doctoral degree plans based on program approval.

- Exams for Credit or Proficiency: Credits may be earned by successfully completing CLEP, AP, IB, and department exams that have been approved by the faculty.

- Credit for Prior Learning: Credits may be awarded for non-course-based educational experiences based on evaluation by the appropriate faculty/department.

- Articulation Agreements: Academic programs may review and accept transfer courses for undergraduate or graduate credit previously described and establish corresponding agreements with Minnesota community colleges. An articulation agreement must clearly outline the institution's courses that will transfer to UMD and the manner in which they are accepted for course equivalency.

UMD participates in the Minnesota Transfer Curriculum collaborative to help students transfer general/liberal education credits. UMD transfer students who completed the Minnesota Transfer Curriculum elsewhere meet UMD's Liberal Education Program requirements.

UMD colleges provide program Transfer Guides, which are posted on college advising websites and linked to the One Stop website.

4.A.4. Course oversight and authority involves faculty, departments, colleges, shared governance committees, and Academic Affairs administrators.

Primary oversight of course reviews and approvals resides within each college and their respective curriculum committees (undergraduate and/or graduate) as stated in college bylaws:

- College of Education and Human Service Professions: Article III, Sections 3 and 4
- College of Liberal Arts: Article II, Section 1
- Labovitz School of Business and Economics: Article IV, Numbers 4 and 8
- School of Fine Arts: Article II, Section 1
- Swenson College of Science and Engineering: 2017-18 Amendment

Departments initiate new courses and course changes for undergraduate and graduate programs using the Course Proposal or Change Form. Undergraduate courses are initially reviewed at the department level, whereas graduate courses need the program's Director of Graduate Studies approval before moving to the department level. Once the academic department approves a course proposal, the proposal is forwarded to the college curriculum committee for review. After receiving committee approval, the proposal is reviewed/approved by the Dean and forwarded to Academic Affairs.

Oversight of the Liberal Education Program occurs at the campus level within the Liberal Education Subcommittee. The Liberal Education Subcommittee reviews courses proposed for the Liberal Education Program using category-specific forms: Oral Communication and Languages, Logic and Quantitative Reasoning, Natural Sciences, Social Sciences, Humanities, Fine Arts, Global Perspectives, Cultural Diversity in the U.S., Sustainability. The Writing and Information Literacy category has no form because WRIT 1120 is the only course that fulfills the category (see also Core Component 3.B.). The review process ensures courses meet the specified category criteria and have direct measures for assessment aligning with category course learning outcomes. The Liberal Education Subcommittee includes faculty representatives from all colleges.

Additional graduate course oversight is provided by the Graduate Programs Committee (GPC). All 7xxx- and 8xxx-level graduate courses require completion of the Course Proposal or Change Form as well as the Graduate Course Addendum. Once Academic Affairs receives the proposal and addendum, the Associate Vice Chancellor for Graduate Education presents the forms to the GPC. The GPC, comprised of all UMD Directors of Graduate Programs, discusses relevancy across programs and possible resource implications. This process was last reviewed and updated in Fall 2015 (October 28, 2015 minutes).

Consistent with the UMD Credit Standards for Instruction and Student Work Policy, faculty also complete the Online Course Addendum for any new course proposed for delivery in any type of online format. Faculty submit the same form to request a change from classroom to any type of online format. Online course addenda reviews follow the course review process.

Faculty determine course prerequisites in accordance with the Establishing, Enforcing, and Waiving Prerequisites Policy. Prerequisites are included in the University's Electronic Course Approval System, which feeds information to the online course schedule and registration system as well as the Catalog (examples: Accounting; Chemistry). Students are not allowed to take a course without having the prerequisite(s) except in unique circumstances, based on faculty and department head recommendations (UMD Academic Petition form).

Faculty communicate details regarding course rigor and student learning expectations in the course syllabus provided the first week of the course, as specified in the UMD Syllabus Policy and the Instructor and Student Responsibilities Policy.

UMD provides students with course-related learning resources as appropriate to our undergraduate and graduate students.

- The Kathryn A. Martin Library includes "Research & Learning" Librarians for the collegiate units to support students in meeting course learning expectations. In addition to online student resources, the Librarians work directly with faculty and students to provide library instruction.

- Information Technology Systems & Services (ITSS) provides students with resources related to technology, including UMD's secure Wi-Fi network, technology for courses, course software and computer labs, technology assistance for online and hybrid courses, and UMD Google Account usage.

- Student services available within the Securian Learning Commons include the Tutoring Center (subject listing), Writers' Workshop (student information), Supportive Services Program (available opportunities), the Math Learning Lab, and Multi-Media Hub.

- North Star STEM Alliance student services are available through the Multicultural Center.

- Disability Resources provides learning resources such as assistive technologies, low distraction accommodations, and interpreters to students with documented disabilities.

- International Programs & Services (IPS) support students' opportunities to study abroad so that students can more effectively learn from the course(s) and experiences (Study Abroad Handbook). IPS also supports faculty who teach an approved UMD Study Abroad Short-Term Program; this process requires submission of the Short-Term Program Proposal for review by IPS and the Study Abroad Faculty Advisory Council.

- Career and Internship Services provides resources for students seeking internships, which may count as course credit.

UMD has worked to ensure faculty are qualified based on UMD's Faculty Qualifications Policy and verification form, which took effect Fall 2017. The EVCAA granted approval for Labovitz School of Business and Economics to use a set of faculty qualifications developed within the college that meets specialized accreditation standards (policy). Faculty may also obtain Graduate Faculty status in accordance with the Qualified Graduate Faculty Policy.

Faculty qualifications for teachers of dual-credit courses through College in the Schools (CITS) are determined and verified using a collection of application materials by (1) the UMD department faculty liaison who teaches in the same discipline as the CITS course, (2) the faculty liaison's department head, (3) the Dean, (4) the CITS unit director, and (5) the EVCAA or Academic Affairs designee. The existing applicant review process, which requires an additional memo describing an applicant's strengths if the teacher lacks a master's degree, is currently under revision to be consistent with the campus policy. In 2017, HLC granted UMD the 5-year extension for demonstrating that

CITS teachers meet the Faculty Qualifications standard (letter). According to the December 2016 extension application, 19 percent of UMD's CITS teachers met HLC faculty qualifications standards of a master's degree and 18 graduate credits in the discipline as of September 1, 2017.

UMD oversees CITS course curriculum, whereas the high school districts manage course administration and costs. A high school principal initiates the course review process along with the teacher application materials. Approved CITS teachers assume course responsibilities under the direction of a UMD faculty liaison in the discipline being taught to approve the course curricula, text, syllabus, assessments, and grade standards and to ensure consistency with the UMD academic department's expectations for teaching and learning. The faculty liaisons conduct one or more on-site visits, ensure CITS teachers submit assessment results, and address any issues that arise or that surface through course evaluations.

In addition to CITS, UMD offers the Post-Secondary Enrollment Option (PSEO) to high school students. UMD faculty teach PSEO students who may enroll in available courses taught on campus, which follow the course review process described in Subcomponent 4.A.4.

4.A.5. UMD seeks and maintains specialized accreditations for specific academic programs through an evaluation process accounting for costs and benefits as well as professional licensure requirements. The academic departments and collegiate units monitor the accreditation standards for their respective programs on an ongoing basis and coordinate the accreditation/reaffirmation of accreditation processes. The required accreditation reviews by the eight organizations that have accredited specific UMD programs serve as the formal program review process and schedule for those programs.

Since the 2008 HLC comprehensive review, UMD's programs with specialized accreditations have maintained their accreditation status (accreditation agency letters). The Minnesota Board of Teaching (BoT) - now called the Professional Educator Licensing and Standards Board (PELSB), which approves all UMD teacher licensure programs, temporarily suspended the programs in 2015-2016 while documentation was updated and reviewed. A follow-up BoT visit during February 2016 confirmed compliance work was completed, and all teacher licensure programs were reinstated in May 2016. In Fall 2017 the regular and extensive, seven-year PELSB review was conducted, for which UMD's teacher education programs passed with full approval across all areas (summary and timeline).

In addition to specialized academic program accreditations, education-related programs may have specialized accreditations. UMD's CITS program is accredited by the National Alliance of Concurrent Enrollment Partnerships (NACEP). The Tutoring Training Program within the Academic Writing and Learning Center is certified by the College Reading and Learning Association.

4.A.6. Surveys conducted by UMD Career and Internship Services are the primary means by which the institution evaluates graduate success. Statistics include employment and continuing education rates, location of employment, annual salaries, and job relevance to major. This data is reported for undergraduate-degree programs by major and by school and for graduate-degree programs (most recent report). The undergraduate report also includes statistics for Study Abroad and internship participation. The 2015-16 undergraduate class report presents comparison data for the most recent five-year period, and reports date back to 2000-01. The graduate-program survey was initially conducted for the class of 2014-15.

Departments may collect additional information regarding graduate success. The Accreditation Office in the College of Education and Human Services Professions sends annual surveys to Education alumni to solicit feedback about their respective program(s) and how well their preparation translated to teaching. The department also collects and shares data on licensure pass rates from the Minnesota PELSB. Information is reviewed with program contacts and the department head during annual data retreats to discuss program management and potential improvements.

The Communication Sciences and Disorders Department tracks students' Praxis II results and posts pass-rate outcomes online. Within the Swenson College of Science and Engineering, Engineering departments keep and track the results of the Fundamentals of Engineering (FE) exam and the Professional Engineering (PE) exam for specialized accreditation purposes. Similarly, the Department of Chemistry and Biochemistry maintains the results of the American Chemical Society (ACS) exams, and the Department of Mathematics and Statistics maintains pass rates for students taking the Actuarial exam (college exams tracked and FE exam results sample).

Sources

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- Academic Affairs - Curriculum Website (page number 5)
- Academic and Academic Support Program Review Schedule - Updated January 2018
- Academic Petition
- Academic Program Review - Dean Summary Report - Math-Stats Dept
- Academic Program Review - Department Response - Math-Stats Dept
- Academic Program Review - External Review Report - Math-Stats Dept
- Academic Program Review - Self-Study - Math-Stats Dept
- Academic Program Review Process and Details
- Academic Program Specialized Accreditations
- Academic Support Program Review Process and Details
- AP Credits List
- Application of Graduate Credits to Degree Requirements Policy
- Articulation Agreements Policy
- Career and Internship Services - Graduate Follow-up Report - 2015-16
- Career and Internship Services - Graduate Follow-up Report - Graduate Programs 2014-15
- Career and Internship Services - Graduate Follow-up Report Archive
- Career and Internship Services - Internship Information
- CEHSP - Communication Sciences and Disorders - Student Outcome Data including Licensure
- CEHSP - Constitution 2003
- CEHSP - Constitution 2003 (page number 14)
- CEHSP - Department of Education Board of Teaching Summary and Timeline
- CEHSP - Education Department Accreditation Website and Licensure Completion Rates
- CITS - Faculty Liaison Responsibilities
- CITS - NACEP Accredited Programs Listing
- CITS - New Teacher Application and Review Process
- CITS - School District Responsibilities and Participating Schools
- CITS - Teacher Application Form
- CITS - Teacher Responsibilities
- CLA - Constitution
- CLA - Constitution (page number 7)
- CLEP Credits

- College Program Transfer Guides
- Course Catalog - Accounting Courses
- Course Catalog - Chemistry Courses
- Course Numbering Policy
- Course Prerequisites Policy
- Course Proposal Form
- Credit by Examination Request Form
- Credit for Prior Learning Policy
- Credit Standards Policy
- DANTES-DSST Credits
- Disability Resources - Home Page
- Doctorate of Education - Graduate Council Follow-up 2015
- Exams for Credit or Proficiency Policy
- Graduate Council - Minutes - 10-28-15
- Graduate Course Addendum
- Graduate Faculty Qualifications Policy - Fall 2017
- HLC Dual-Credit Faculty Qualification Application for Extension
- HLC Dual-Credit Faculty Qualification Application for Extension (page number 5)
- HLC Dual-Credit Faculty Qualification Extension Approval
- Instructor and Student Responsibilities Policy
- International Baccalaureate Credits
- ITSS - Course Tools
- ITSS - Students - Course Software and Labs
- ITSS - Students - Living and Connecting on Campus
- ITSS - Students - Online and Hybrid Courses
- ITSS - Students - UMD Google Account
- Liberal Education Program - Academic Affairs
- Liberal Education Program - Academic Affairs (page number 4)
- Liberal Education Program - Cultural Diversity in the U.S. - S18 Proposal Form
- Liberal Education Program - Fine Arts - S18 Proposal Form
- Liberal Education Program - Global Perspectives - S18 Proposal Form
- Liberal Education Program - Humanities - S18 Proposal Form
- Liberal Education Program - Logic and Quantitative Reasoning - S18 Proposal Form
- Liberal Education Program - Natural Sciences - S18 Proposal Form
- Liberal Education Program - Oral Communication and Languages - S18 Proposal Form
- Liberal Education Program - Social Sciences - S18 Proposal Form
- Liberal Education Program - Sustainability - S18 Proposal Form
- Library - Instruction - Website
- Library - Research Resources for Students - Website
- LSBE - Constitution 2005
- LSBE - Constitution 2005 (page number 12)
- LSBE - Faculty Qualifications - Definitions and Evaluation Policy
- Minnesota Transfer Curriculum
- North Star STEM Alliance Student Services
- One Stop - Transfer Credit Information for Students
- One Stop - Transfer Credit Information for Students (page number 5)
- Online Course Addendum
- SCSE - College Committee Membership 2017-18
- SCSE - Exams Summary and FE Exam Results Sample
- Securian Learning Commons

- SFA - Constitution 2016
- SFA - Constitution 2016 (page number 13)
- Short-Term Study Abroad Proposal
- Specialized Program Accreditations - Action Letters
- Study Abroad - Academic Planning Form
- Study Abroad - Handbook 2016-2017
- Study Abroad - Planning Courses
- Supportive Services Program - Student Services
- Syllabus Policy
- Transfer Course Evaluation Form
- Transfer of Undergraduate Credit Policy
- Tutor Training Program Certification
- Tutoring Center
- UMD Constitution (2014) and Bylaws (2017) Approved
- UMD Constitution (2014) and Bylaws (2017) Approved (page number 7)
- UMD Constitution (2014) and Bylaws (2017) Approved (page number 8)
- UMD Faculty Qualifications Policy - Fall 2017
- Writers Workshop - Student FAQ

4.B - Core Component 4.B

The institution demonstrates a commitment to educational achievement and improvement through ongoing assessment of student learning.

1. The institution has clearly stated goals for student learning and effective processes for assessment of student learning and achievement of learning goals.
2. The institution assesses achievement of the learning outcomes that it claims for its curricular and co-curricular programs.
3. The institution uses the information gained from assessment to improve student learning.
4. The institution's processes and methodologies to assess student learning reflect good practice, including the substantial participation of faculty and other instructional staff members.

Argument

4.B.1. UMD's undergraduate and graduate learning goals are prominently displayed on the Assessment of Student Learning website (the differentiation between undergraduate and graduate levels is described in Subcomponent 3.A.2.).

Undergraduate Learning Goals:

1. Knowledge -- acquisition, construction, integration, application
2. Thinking -- cognitive complexity
3. Self-realization -- interpersonal development
4. Relationships -- interpersonal competence
5. Social responsibility -- civic engagement and humanitarianism
6. Life skills -- practical competence

Graduate Learning Goal Categories:

1. Knowledge and scholarly formation
2. Research and methodological skills relevant to the field
3. Communication skills
4. Leadership and collaborative skills
5. Cultural competence and global context formation of the field

Through HLC Assessment Academy participation beginning Fall 2008 (view application), UMD established a campus-wide assessment plan that included undergraduate student learning goals, learning outcomes, and related assessment processes. Assessment Academy participants included members of UMD's Council for the Advancement of Student Learning (CASL). At the same time, the Student Development Assessment Team (SDAT) was tasked with developing UMD co-curricular program assessment; one SDAT member sat on CASL.

During Spring 2009, CASL and SDAT learning outcomes development merged into one process. The SDAT outcome domains became undergraduate campus learning goals, and CASL's learning outcomes were aligned to the goals (CASL minutes: April 13, 2009; April 17, 2009; May 4, 2009). Soon thereafter, SDAT merged into the CASL membership.

CASL endorsed the use of one set of learning outcomes for undergraduate curricular and co-curricular programs May 4, 2009. CASL finalized the learning goals and outcomes August 31, 2009. In Fall 2009, UMD governance approved the learning outcomes (Educational Policy Committee: September 30, 2009; Campus Assembly November 10, 2009). The undergraduate learning outcomes follow, with the goals to which they align in parentheses:

Students will be able to:

1. Demonstrate competence in a major field. (Goal 1: Knowledge)
2. Construct, integrate, and apply knowledge from instruction and experience. (Goal 1: Knowledge)
3. Think critically and creatively in seeking solutions to practical and theoretical problems. (Goal 2: Thinking)
4. Use ethical reasoning to make informed and principled choices. (Goals 3 and 5: Self-Realization and Social Responsibility)
5. Demonstrate self-knowledge across a range of developmental areas. (Goal 3: Self-Realization)
6. Communicate effectively through writing, speaking, and interpersonal and group interactions. (Goal 4: Relationships)
7. Apply understanding of cultural differences in diverse environments. (Goal 5: Social Responsibility)
8. Contribute to local, national and global communities in which they live. (Goal 5: Social Responsibility)
9. Apply life skills to succeed in college and beyond. (Goal 6: Life Skills)

CASL led the development of the original campus assessment processes for undergraduate curricular and co-curricular programs throughout the Assessment Academy:

- 2008-09: Undergraduate programs specified learning outcomes, aligned program outcomes with campus outcomes, and began formulating assessment plans within the campus's three-year assessment and reporting cycle (initial timeline and process); CASL began creating faculty and staff development programs on assessment topics.
- 2009-10: The program annual assessment report format was created; programs submitted assessment plans; faculty and staff development opportunities were implemented (example: 2009 Student Learning Mini-Conference agenda).
- 2010-11: Program annual assessment reports were submitted; CASL conducted report reviews using an assessment rubric; Liberal Education Program assessment practices were drafted (May 2011 CASL report).
- 2011-12: The program peer review process was implemented; Program Assessment Liaison (PAL) training was offered; Liberal Education Program assessment practices were piloted with volunteers from the Humanities and the Logic and Quantitative Reasoning categories (December 2011 CASL report).
- 2012-13: The Campus Labs database Compliance Assist was implemented for assessment reporting (December 2012 CASL report).

As part of the HLC Assessment Academy, CASL provided an overall evaluation of its assessment work during Fall 2012 (August 31, 2012 minutes). A second structured evaluation was conducted internally in Spring 2013 (April 26, 2013 minutes). Both reviews identified strengths of assessment processes developed and implemented, as well as opportunities for improvement as the campus moved forward.

In 2013-14, UMD implemented a revised governance structure that embedded oversight for campus

assessment of student learning into shared governance, and the new Assessment Subcommittee replaced CASL. While the Assessment Subcommittee discussed its charge to establish actionable agenda items, campus assessment work continued under the direction of Dr. Julia Williams, the faculty member originally appointed in January 2014 to assist the former Director of Student Learning Assessment. Dr. Williams served on CASL since 2011-12 and was elected to the Assessment Subcommittee in Fall 2013.

Under Dr. Williams' leadership, undergraduate campus assessment work continued to ensure programs established student learning outcomes, completed annual assessment reports, and participated in the annual peer review process (2015 report). Numerous professional development opportunities were provided to faculty and staff during this period of time, including PAL workshops; training for programs, departments, and colleges/units; and assessment learning community cohorts (2014-2018 list).

The Liberal Education Subcommittee, also new to the 2013-14 governance structure, renewed discussions of Liberal Education Program Assessment in Spring 2015 (March 24, 2015 minutes) for implementation during Fall 2015 (September 2, 2015 minutes). The assessment plan requires all courses approved for the Liberal Education Program be assessed and reported on during the institution's standardized three-year cycle. Dual-credit, College in the Schools (CITS) faculty liaisons have also been instructed that CITS courses in the Liberal Education Program must conduct program assessment (Fall 2016 email). Based on faculty discussion sessions during Fall 2016, the Liberal Education course reporting process was updated to utilize Google Forms for 2016-17 submissions (current reporting process and assessment schedule).

The Graduate Programs assessment process, which had been put on hold in Spring 2013 in order to explore the potential for following the University of Minnesota Twin Cities lead (CASL April 23, 2013 minutes), was reinstated at UMD in Fall 2014 by a subcommittee of the Graduate Council (September 4, 2014 minutes). Through a multi-year process of establishing program learning outcomes and assessment plans (minutes: February 2015, September 2015, February 2016, September 2016, March 2017), cohorts established the current Graduate Programs assessment process (September 22, 2015 email). The Graduate Programs Committee formally adopted the graduate program learning goals and agreed to follow the same three-year assessment cycle for all programs September 8, 2017.

In 2016-17, the Assessment Subcommittee conducted a comprehensive review of campus assessment activities to identify positive aspects for continuation and areas for improvement. Based on HLC expectations for student learning assessment, the review primarily examined assessment involvement, annual program assessment reports, documentation of improvements to teaching and student learning, the peer review process, organizational structure and culture related to assessment, and course syllabi (learning outcomes only). Findings from the assessment review report and additional needs provided the Assessment Subcommittee with its charge for the 2017-18 academic year. Assessment updates are described in Subcomponent 4.B.4.

4.B.2. Student learning assessment was initially launched 2009-10 for undergraduate-degree programs and co-curricular programs, for which CASL identified 68 total programs (May 2011 Report; before Compliance Assist was implemented).

According to the Assessment Subcommittee's review report (p. 10-12), a total of 75 programs with one or more program learning outcomes aligned to campus-level outcome(s) were entered in the

Compliance Assist information system between 2013 and 2016. Based on data collected and analyzed, the Assessment Subcommittee acknowledged some uncertainty regarding the programs that should be reporting assessment of student learning and therefore recommended clear definitions to identify programs accurately (p. 5).

In Fall 2017, the Assessment Subcommittee clarified curricular and co-curricular programs with definitions (summarized below), characteristics, and expectations (October 2, 2017 minutes).

- Curricular: Credit-bearing programs that include the undergraduate Liberal Education Program, undergraduate majors, graduate programs, undergraduate certificates, and post-baccalaureate certificates.
- Co-Curricular: A structured, student-centered program that promotes students' academic, personal, and/or professional growth and development.

The Assessment Subcommittee also approved an updated Assessment Plan form (October 2, 2017 minutes) to ensure all programs required to conduct assessment will have processes in place to conduct and report program assessment results in accordance with campus practices. With new program definitions and expectations, the Associate Vice Chancellor (AVC) charged with campus assessment has been working with department heads and Program Assessment Liaisons (PALs) during 2017-18 to accurately identify programs for student learning assessment. Programs have been updating their assessment plans for the AVC review and approval before being publicly posted on the Assessment Plans page of the Assessment of Student Learning website (February 28, 2018 summary).

Program assessment data is aggregated at the campus level to view and analyze assessment information for campus learning outcomes. Both CASL and the Assessment Subcommittee chose to examine three undergraduate learning outcomes for each year of the campus three-year reporting cycle. The Assessment Subcommittee is implementing processes for formal review of campus assessment data and related communications to shared governance committees and administrators during 2017-18. The schedule of reports and completed reports listed below are publicly available on the Assessment of Student Learning website.

CASL assessment activity reports and dates:

- Outcomes 1, 7, and 9 - May 2011
- Outcomes 3, 5, and 6 - December 2011
- Outcomes 2, 4, and 8 - December 2012

The Assessment Subcommittee wrote and distributed one report in Spring 2018 that includes the following annual undergraduate learning outcomes and graduate goal category summaries:

- Outcomes 1, 2, 3 (Goals 1, 2) - 2013, 2016
- Outcomes 4, 7, 8 (Goals 3, 5) - 2014, 2017
- Outcomes 5, 6, 9 (Goals 3, 4, 6) - 2015
- Graduate Goal Category 2 - 2017

According to the report, programs conducting and reporting assessment demonstrate use of assessment results to inform program improvements and resource needs. Numerous recommendations are provided to various campus stakeholders on ways assessment findings can inform their work and decisions related to teaching and learning.

4.B.3. The required annual program assessment report forms include fields for quantitative information and explanations of assessment, including descriptions of assessment measures, data analysis, and recommendations for program development (templates: undergraduate; graduate). Sample reports are provided for English, Graphic Design, Political Science, Secondary Education, Disability Resources, Health Services, and Master of Geological Science.

Since campus assessment occurs at the program level, student learning improvements also focus on the program level. Programs identify actions for program development as part of the annual reporting process. Based on the 2017 Assessment Subcommittee review, program improvements directly related to student learning were classified as program/curricular changes and teaching changes (p. 26-27). Changes for assessment methods were also documented.

Colleges are increasingly engaging their faculty in inter-department/program discussions concerning assessment reports and closing-the-loop activities (examples: College of Education and Human Service Professions; College of Liberal Arts; Labovitz School of Business and Economics; Swenson College of Science and Engineering). Departments and colleges are also encouraged to review Liberal Education Program assessment results to account for ways their programs could be influenced by student learning within Liberal Education foundational courses (example: October 31, 2017, Council of Deans Meeting Assessment Update). Another example of inter-department/program discussions is shown in the assessment plan for WRIT 31xx, which is the upper-division writing requirement for most majors on campus.

Programs are expected to use report information to improve student learning and document updates within the program reports as part of closing the loop. Then, the next time the program learning outcome is assessed and reported, programs provide information regarding the impact changes had on student learning. This information is also required for the internal program review process, described in Subcomponent 4.A.1.

The program assessment peer review process includes use of analysis and continuous improvement as expected assessment practices (rubric). The Assessment Subcommittee's review included an evaluation of this rubric category scores, for which data indicated that undergraduate programs overall are nearing the "at standard" rating (p. 26). Being "at standard" means 1) an ongoing, inclusive, systematic, process is in place for using data to make decisions and improve learning within the program, appropriate to the program internal and external constituencies (advisory board, alumni, employers, etc.); and 2) analysis of student learning relative to outcomes reported has generated documented changes within the program that are routinely adjusted in response to monitoring and have resulted in increased student achievement.

The Assessment Subcommittee's evaluation of this review item provided minor recommendations to improve analysis and continuous improvement practices in assessment (p. 5-6). The report acknowledged Dr. Williams' work during Spring 2017, after the Fall 2016 peer review data was collected, to add the closing-the-loop items to the program SLO report form in Compliance Assist. Training/work sessions for providing follow-up data were held April 2017.

4.B.4. UMD's assessment processes were developed initially as part of the HLC Assessment Academy during 2008-2012, which involved planning and implementation under the guidance of assessment experts (Academy Student Learning Portfolio Projects/Feedback reports: 2008-09, 2009-

10, 2010-11, 2011-12).

Assessment processes also evolve with input from administrators, faculty, and staff as they review assessment activities, utilize professional networks, and participate in professional development. For example, the program assessment peer review process was initiated by a CASL member who attended a 2011 HLC conference session in which the practice was presented (April 20, 2011 minutes). The peer review process enables programs to receive peer feedback to improve their assessment practices. In part based on feedback from PALs who participate in the peer reviews (review report, p. 16), the 2017-18 Assessment Subcommittee is reviewing and revising the review rubric for implementation Fall 2018 (workgroup update February 9, 2018).

The comprehensive review of campus assessment conducted 2016-17 evaluated the extent to which processes used at that time were effective. Based on Assessment Subcommittee members' ratings for review criteria, primarily adopted from HLC expectations for student learning assessment (p. 3), average scores were computed and used to inform areas for recommended improvements. In addition to reflecting good practice, conducting the assessment review demonstrates UMD's commitment to strengthening a culture of continuous improvement that builds upon survey results presented within the review (p. 17-19).

The assessment review highlighted good practices of regular program reviews (annual reporting process, p. 21-22) and involvement of faculty and staff throughout the assessment process (p. 24). For example, faculty developed the rubrics for all Liberal Education Program categories through working sessions and iterative reviews (example: rubric development communications). Liberal Education faculty are also encouraged to attend category review sessions to discuss initial category results (example: category discussion communication).

Numerous campus assessment items updated during 2017-18 were informed by the Assessment Subcommittee review in addition to best practices in higher education. These improvements include:

- A new assessment of student learning website, launched November 2017 is based on the Transparency Framework from the National Institute for Learning Outcomes Assessment.

- Definitions, characteristics, and expectations for curricular and co-curricular program assessment provide clarity and ensure programs that should be assessed will be assessed.

- A new assessment plan format for undergraduate programs provides a common structure for program documentation; assessment plans are a required part of the website's Transparency Framework to ensure that program learning outcomes are publicly available.

- The new peer review rating scale will provide clearer assessment expectations.

- The Assessment Subcommittee reviews campus assessment data and forwards recommendations through campus governance and to other relevant stakeholders.

- Campus assessment responsibilities are clarified for the team of individuals doing the work (Campus Assessment Team Responsibilities), which includes assistance and support during 2017-18 for programs updating their assessment practices.

- A Co-Curricular Assessment Community of Practice meets monthly as a means for co-curricular program assessment liaisons and staff to share information and provide peer support.

- A plan to recognize programs for their assessment work is being developed for implementation Fall 2018.

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- UMD Application for HLC Assessment Academy
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- UMD Campus Assessment Review April 2017 - p. 3
- UMD Campus Assessment Review April 2017 - p. 5
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- Undergraduate Program Assessment Plan - Instructions and Blank Form

4.C - Core Component 4.C

The institution demonstrates a commitment to educational improvement through ongoing attention to retention, persistence, and completion rates in its degree and certificate programs.

1. The institution has defined goals for student retention, persistence, and completion that are ambitious but attainable and appropriate to its mission, student populations, and educational offerings.
2. The institution collects and analyzes information on student retention, persistence, and completion of its programs.
3. The institution uses information on student retention, persistence, and completion of programs to make improvements as warranted by the data.
4. The institution's processes and methodologies for collecting and analyzing information on student retention, persistence, and completion of programs reflect good practice. (Institutions are not required to use IPEDS definitions in their determination of persistence or completion rates. Institutions are encouraged to choose measures that are suitable to their student populations, but institutions are accountable for the validity of their measures.)

Argument

4.C.1. In October 2015, the University of Minnesota Board of Regents established a set of System-wide goals called the "Progress Card" that includes objectives such as graduation rates, graduate degrees conferred, student persistence to graduation within the University of Minnesota system, undergraduate debt at graduation, and Minnesota high school graduate enrollment. Data collected since 2007 was used to formulate the baseline and determine the stretch goals.

Subsequently, each campus established campus-level goals as appropriate for the Gold and Maroon Measures. The Strategic Enrollment Management (SEM) Subcommittee adopted the "4-Pro's" (Profile, Progress, Process, Promise) retention framework as principles and guiding questions to identify goals relevant to UMD's mission, offerings, and student profile (initial discussion March 12, 2015). For example, UMD established an undergraduate retention goal of 80 percent, based on analysis of internal data and peer institutions. An update regarding progress toward the retention goal was shared across campus in February 2017.

4.C.2. The University of Minnesota Office of Institutional Research manages System-wide data collection and reporting and provides breakdowns by campus (example: UMD Fall 2017 enrollment). UMD maintains an Office of Institutional Research (OIR), led by the Assistant Vice Chancellor (AVC) for Enrollment Management and Institutional Research, to conduct campus-specific data analysis and reporting. UMD OIR staff work with campus and unit decision-makers to identify needed data and conduct analysis at the appropriate level (program, department, school). OIR has an annual project schedule to ensure reports such as retention and graduation rates, course success rates, and credits at graduation are disseminated in a timely manner. Samples of annual reports include:

- Graduation and retention rates summarized across multiple years in reports for (1) Campus and by Unit, and (2) Students of Color and International Students.

- Retention rates by program and gender are reported (1) By Unit, and (2) by program upon request (example: Swenson College of Science & Engineering).

- The retention rates of New Advanced Standing Students by Program shows program-level data by college.

- Course DFW Rates for 1xxx Courses summarizes data for multiple semesters. Additional course reports are completed upon request (examples: Chemistry 1153, Philosophy 1018).

- The Strategic Enrollment Key Performance Indicators Updates report includes enrollment statistics such as student enrollment (by college and by students of color), student academic profile, and persistence rates for multiple years.

OIR conducts additional analyses related to retention and graduation based on campus needs and opportunities. Examples include:

- Retention and Graduation by Race/Ethnicity: to identify achievement gap(s) between race/ethnicity subpopulations

- Student Satisfaction: to explore student retention relative to National Survey of Student Engagement (NSSE) indicators

- Attrition Risk Analysis by Unit (examples: College of Education and Human Services Professions, School of Fine Arts): to identify factors of at-risk students for each college

The University of Minnesota Graduate School maintains data and provides online reports including completion rates and median time to degree for graduate students. Reports are available by college and by program, and data may be reported by gender and for international and minority students (report list and UMD program example).

4.C.3. The Board of Regents expects the University to effectively use data to improve student retention, persistence, and graduation rates. The Board specified its expectations within enrollment management principles and related guidelines for making decisions. Similarly, UMD has adopted a set of guiding principles, planning assumptions, and guiding questions to focus the campus on institutional needs and resources. Primary decision-makers who use UMD OIR reports include campus administrators, Deans, and the SEM Subcommittee. Additional faculty and staff receive reports and descriptions of data analyses related to their work affecting program, department, and/or school-level retention, persistence, and completion.

The undergraduate and graduate Student Retention Action Plan tracks specific decisions implemented for retention and persistence improvements. The model was launched at a Chancellor's Town Hall Meeting on Student Success and Retention, attended by more than 120 faculty, staff, and student leaders from across campus. Academic Affairs funds small grants ($97,046 Spring 2016-Spring 2017) for a wide variety of academic and academic-support activities aligning with the 4 Pro's framework. Because activities such as quality of interactions with faculty and other students, effective teaching practices, and supportive environment relate to student satisfaction (summary), impact will be monitored in part through analysis of the 2018 NSSE results compared to previous years.

College-level decisions have also been used to improve student persistence and retention by using the

Attrition Risk Analysis reports. Throughout Summer and Fall 2017, OIR met with each college's professional academic advisors who developed action items targeted to improve student persistence and retention.

Additionally, OIR reports provide information used to make decisions specific to certain groups, for which outcomes are monitored over time to track improvements and inform additional changes. These action plan summaries, including goals, SEM strategies, actions, measurable outcomes, timelines, and progress updates with units/individuals responsible, are:

- Students of Color Retention
- International Student Enrollment
- New High School Student Retention
- New Advanced Standing Student Retention

During 2016-17, the SEM Subcommittee addressed the Retention and Graduation by Race/Ethnicity report to inform recommendations, such as improved mechanisms for identifying at-risk students and for providing academic and financial support as presented within the Subcommittee's Spring 2017 report (minutes: October 26, 2016; November 30, 2016; February 13, 2017).

Units often use additional data to inform decisions to improve student retention, persistence, or completion. For example, the Labovitz School of Business and Economics monitors its course enrollments on a weekly basis once registration begins to determine whether to add more course sections that will facilitate student persistence in their programs toward timely graduation.

UMD advising directors are working with the AVC for Enrollment Management and Institutional Research on the University of Minnesota Institutional Research Curriculum Analysis Project, which is identifying ways to report data to view students' paths through their degree programs. Interpretation of the results can help departments plan course schedules and make adjustments as needed to foster timely graduation.

4.C.4. The University's core definitions and business rules for collecting and analyzing information on student retention and completion of programs are based on Integrated Postsecondary Education Data System (IPEDS) Graduation Rate Survey protocols. Base cohorts represent fall term, first-time, full-time, new entering freshmen (defined as having no post high school college level completed credits, excluding summer in the high school graduation year). These base cohorts are pulled from official enrollment files that are captured on the census date and frozen each term.

Retention is measured by tracking fall-to-fall term enrollments as of census date. Graduation rates measure baccalaureate degrees received by year, with each year defined as a year's fall through summer terms. For example, "degrees granted" in 2016-17 includes Fall 2016, Spring 2017, and Summer 2017. The University defines persistence as the act of continuing towards an educational goal.

Two key components to data collection and analysis include UMD OIR staff, which has increased its size from one to three since 2013, and the formalization of the SEM Subcommittee in 2011. OIR has a regular schedule of updating and providing regular campus reports, in addition to creating reports on an as-needed basis. The SEM Subcommittee reviews reports and collects additional information to analyze data and make well-informed recommendations to administrators across campus. Recommendations often draw upon best practices from higher education (examples: 4 Pro's

Framework, 30-60-90 Student Success Model, High Impact Practices).

SEM's operational framework involves communication and stakeholder involvement in a continuous loop of analysis, goal setting, implementation, and revision based on outcomes. SEM Subcommittee members include individuals from campus units impacting student retention, persistence, and completion outcomes: Admissions, Financial Aid, International Programs and Services, Housing, Diversity and Inclusion, Graduate Education, UMD Marketing, and each college (faculty, department head, and/or associate dean). Campus updates for broad audiences are communicated in visually appealing ways with data highlights and relevant implications (examples: Fall 2014 Campus Enrollment Update; Spring 2017 Student Success and Retention Update).

In April 2015, the University of Minnesota transitioned to the PeopleSoft information technology platform supporting all operations. Administrators, staff, and faculty access student-related reports from the system as relevant to their work. Additional advising-related software is used to monitor student persistence on an ongoing basis (examples: Graduation Planner and APLUS). The Academic Progress Audit System (APAS) is the University of Minnesota's degree audit system.

Sources

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4.S - Criterion 4 - Summary

The institution demonstrates responsibility for the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness for student learning through processes designed to promote continuous improvement.

Summary

As stated in Criterion 3, improving upon teaching and learning are essential to delivering on UMD's mission. UMD must continue to improve upon its processes for evaluation and development of teaching and learning. Continuous improvement examples related to Criterion 4 that are in-progress or forthcoming include:

1. Evaluating the academic program review process.
2. Identifying areas for additional improvements within student learning assessment (examples: CITS courses, the assessment information system).
3. Developing effective responses to collegiate attrition data to improve student retention.
4. Creating methods for more effective distribution and communication of institutional and system data.

Sources

There are no sources.

5 - Resources, Planning, and Institutional Effectiveness

The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

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

5.A.1. UMD's Composite Financial Index (CFI) data summarizes fiscal resource capabilities. As a measure of financial strength and flexibility, the Primary Reserve Ratio declined over the past six years; increases to expendable net assets would improve the ratio. Net Income Ratios indicate UMD operates within its available resources with the exception of FY2014. During FY2014, UMD conducted formal Program Prioritization to reduce operating expenses, which is reflected in the improved FY2015 ratio. Return on Net Assets Ratios hold steady since FY2014, reflecting economic returns approaching appropriate levels; negative figures in FY2012 and FY2013 are attributed to enrollment declines. Viability Ratios are zero because the institution has no long-term debt recorded; such debt is accounted for at the System level in accordance with the Board of Regents Debt Transactions Policy. Overall, UMD's CFI falls within the range that allows the institution to direct resources under its control, including budget allocations from the System as described in Subcomponents 5.A.2. and 5.A.5.

Primary allocation and reallocation considerations involve maintaining appropriate resources and infrastructure to support the institution's academic and co-curricular programs. Student-faculty and student-staff ratios from Fall 2009 to Fall 2017 demonstrate UMD's commitment to maintain sufficient levels of human resources to deliver academic and co-curricular programs. Student-to-faculty ratios over this timeframe ranged from 18.4 to 1 (2009) to 17.9 to 1 (2017), and student-to-staff ratios ranged from 10.8 to 1 (2009) to 10.2 to 1 (2017). Academic and non-academic areas review data and needs regularly to determine where personnel resource allocations may be necessary.

Faculty position allocations are reviewed and approved annually by the Executive Vice Chancellor for Academic Affairs (EVCAA). Deans submit annual requests for filling expected instructional

vacancies based on completed course schedules for the next academic year. The EVCAA reviews all requests and reallocates centrally held "course access" funds (FY2018 course access allocation summary). Additionally, as tenure or tenure-track faculty lines become open through phased retirements, resignations, and attrition, the related salary and fringe resources move from the department level to the college level. With EVCAA approval, Deans may reallocate these resources, referred to as the "faculty position pool," to academic departments in their colleges to meet the unit's academic needs and priorities.

A staff example is the FY2017 UMD Police Department request for additional allocations to increase staffing, which was at 50 percent of the appropriate size for the campus. Data showed growing demands for increased police patrols, more investigations, more comprehensive reporting (such as the Clery Act), and additional officer training. UMD's funding request was approved for one investigator/detective position and three additional sworn officer positions, as well as support for training and other necessary operating costs.

In addition to ensuring appropriate numbers of faculty and staff to meet student needs and working to deliver programs more efficiently, employees have sufficient credentials and competencies to deliver programs and academic support services. For details about faculty credentials and development refer to Core Component 3.C. Staff development is described in Subcomponents 3.C.6. and 5.A.4.

Budgetary decisions account for and determine the physical and technological infrastructures for delivering academic and co-curricular programs. Each year, the System budget office requests a six-year capital budget plan for campus physical facilities to be considered within the System's Capital Projects Plan (example: 2018-2023). UMD is building the Chemistry and Advanced Materials Sciences (CAMS) facility, which is included in the current plan.

The System requests Higher Education Asset Preservation and Renovation (HEAPR) funding from the State of Minnesota when the legislature's agenda includes a Bonding Bill. HEAPR dollars fund projects to extend the life of the University's physical infrastructure and to meet code and accessibility requirements. FY2019 HEAPR requests include repurposing the Chemistry building, which will be left vacant when existing facilities move to the CAMS building. The project entails converting laboratories into classrooms, offices, and other space while updating the building's infrastructure to support its operations. The Humanities renovation will provide properly functioning air systems to avoid classroom issues due to extreme temperatures that can exist during summer and early fall. The floor replacement request for the Ward Wells Field House will extend the life of the property, which is used for classes, recreational sports, and athletics.

UMD also funds renovation and repair projects from state Operations and Maintenance (O&M) allocations through Facilities Management. These projects (FY2018 list) address immediate campus needs to keep building infrastructures operational.

Ongoing technology investments maintain and anticipate the infrastructure needed for delivering academic programs. System-wide, the Office of Information Technology (OIT) provides services that are broadly consumed and/or core to central operations for realizing economies of scale (example: Developing an Online Course). Recent System-wide investments include:

- Transition to PeopleSoft ("The Upgrade") in 2015 that introduced a new web portal for the University community
- Participation in the Unizin consortium since 2014
- A two-year pilot test of the Canvas Learning Management System (Fall 2015 through Spring 2017) with a decision to transition to Canvas effective Fall 2017

- "Next Generation Network" system upgrade beginning 2017

UMD's Information Technology Systems and Services (ITSS) Office provides local services specific to UMD faculty, staff, and student needs and implements System-wide OIT initiatives on the Duluth campus. Among the many ITSS teams, the Educational Technology and Training Team supports faculty using technology for teaching and learning by partnering with collegiate units, delivering faculty workshops, and consulting on pedagogical use of academic technology such as Moodle or Canvas. ITSS also ensures effective use of technology in classrooms and computer laboratories.

To further support technological infrastructures to deliver programs, UMD's Blueprint for Online Learning provides a plan to increase the online presence of programs and courses in response to a University System request (July 21, 2017, Online Programs Task Group Reports and Next Steps).

5.A.2. UMD is one Resource Responsibility Center (RRC) within the University of Minnesota System (RRC listing). The System maintains oversight of UMD allocations at the campus level and ensures that no funds are disbursed to a superordinate entity other than the funds retained by the System to pay for centralized support services called "cost pools" (UMD Cost Pool summary).

In addition to the instructional allocation processes described in Subcomponent 5.A.1., UMD supports educational programs through budgeted allocations and reallocations as needed to maintain the institution's mission and meet program needs. At a campus level, these decisions depend upon the annual allocations determined by the System that are outlined in a letter from the President (examples: FY2017; FY2018).

Budget deficits have resulted from a combination of stagnant or declining State allocations, several years of decreased campus enrollment (Fall enrollment data provided), and expenditures increasing more than revenues. As noted in the campus enrollment graph, UMD's O&M revenue increased $11M while expenditures increased $15M from FY2012 to FY2016, and budgeted revenues remain less than expenditures (FY2017, FY2018). A Fall 2016 model developed to resolve the institution's structural imbalance and sequestered deficit over a period of time was modified in 2017-18 to address new challenges specified in the President's FY2018 budget letter.

To promote transparency and collective understanding across campus constituents, the President's annual budget letter is presented to the Strategic Planning and Budget (SPB) Committee (September 14, 2017, minutes) and communicated broadly to the campus (Chancellor email, September 21, 2017). Academic information is highlighted in presentations to the University Education Association Board, Council of Deans, and academic department heads. Budget plans developed in response to the letter are also shared with the campus community (example: January 2018 town hall invitation) and posted publicly on the Vice Chancellor for Finance and Operations (VCFO) website.

During the campus-wide Program Prioritization process in FY2014, all academic and academic support programs were evaluated to help inform UMD's budget requirements established by the System. Program Prioritization recommendations focused mostly on academic support programs, with few changes to academic programs as a whole. Additional budgetary changes were implemented in FY2016 with further plans proposed for FY2017. FY2017 Program Prioritization analysis focused on collegiate unit enrollment and instructional costs, which led to actions focused on realigning resources to enrollment levels (FY2018 summary) rather than the previously proposed academic administrative restructuring. FY2018 Program Prioritization will result in additional reallocations for academic programs based on longer-term enrollment data. A refined set of measures for Program Prioritization

will be developed and deployed in Spring 2018. In addition, course access funds will be reformulated to support enrollment growth.

5.A.3. UMD's recently revised strategic goals, originally developed in 2011 to fit the institution's mission, were reaffirmed as relevant and were rephrased in 2017-18 (described in Core Component 1.A.). Having a broad set of goals allows for flexibility as the institution's capabilities, resources, and opportunities change over time. While the goals provide breadth and coverage for the campus as a whole, each goal's initiatives and specific measures establish a framework and direction for moving the campus forward.

In FY2011 and FY2012, internal grants from new, one-time resources helped launch the Strategic Plan. Strategic Initiative Grants allowed faculty and staff to develop and expand projects aligned with the strategic goals; total funding available was approximately $500,000. Since FY2014, UMD continues to make progress toward the goals primarily through reallocations, such as Program Prioritization, and critical reflection and continuous improvement activities that served as UMD's Quality Initiative.

Campus initiatives being developed as part of the updated Strategic Plan in Spring 2018 require re-evaluation and new ways of thinking to become more efficient and sustainable, especially for Goal 6: Establish and maintain effective and sustainable operations across all areas of the institution. Campus needs and resources with respect to institutional goals and opportunities are reviewed regularly and are ongoing as described in Subcomponents 5.A.1, 5.A.2., and 5.A.5.

5.A.4. UMD staff are appropriately qualified and trained to support and strengthen educational programs and work toward achieving the mission.

The creation of a new Professional and Administrative (P&A) or Civil Service staff job requires the hiring department to complete a Position Description form specifying the job's essential functions, budget responsibilities, and supervisory duties and identifying appropriate levels of education and work experience necessary. This form, or the respective form for jobs within bargaining units, is also completed in order to reclassify a current job in cases of reorganization, revised job duties, or reconsideration of job class. Jobs are placed into classifications for compensation purposes and to create job postings guiding the recruiting and selection processes. This process was recently used as part of the System-wide job family study to realign staff positions (example: AFSCME clerical reclassifications).

Ensuring staff employees are qualified for their respective jobs begins during recruiting and selection processes, which are centrally coordinated at the System level in three phases: post and recruit, screen and select, offer and accept. Hiring departments work with UMD's Human Resources (HR) staff as well as the System's Office of Human Resources (OHR) to complete steps within each phase.

New staff training occurs during System-wide new employee orientation and at the campus level through guidelines provided to employees through their supervisors. Additional and ongoing training in 11 subject areas is provided through ULearn to ensure employees remain qualified for their jobs as policies, practices, and systems evolve:

- Data management

- Development
- Diversity, equity and inclusion
- Facilities and security
- Financial management
- Health and safety
- Human resources
- Institutional requirements
- Research education
- Software applications
- Student administration

Supervisory training is available through the System's Leadership and Talent Development programs, and UMD HR provides training on a regular basis specific to UMD's needs (example: 2017 Supervisory Training Part 1). Employees are also eligible for the Regents Scholarship Program, which covers a portion of tuition costs for the University's credit-bearing courses.

UMD staff involved in student learning assessment are provided training annually and as needed to support educational programs (view May 2017 email announcement). Training for academic department heads has been provided at the college level, and a campus-wide training program is in development for implementation in April 2018.

The employee performance evaluation process was established by the Board of Regents Employee Performance Evaluation and Development Policy, which includes language relevant to Core Component 5.A.:

- Guiding Principle (b): "the University is committed to assessing and supporting the development of the behavioral and functional competence of its employees, consistent with expressed academic and administrative needs"
- Section VI: "employees are expected to understand the importance of their contribution to the University's mission, values, and success"

The staff performance appraisal process is administered at the campus level through UMD HR; units are allowed to use internal, HR-approved forms.

Processes for hiring and training qualified faculty are detailed in Core Component 3.C.

5.A.5. UMD's fiscal resources are allocated annually at the System level, through Board of Regents approval of annual operating budgets as well as operating and capital budget appropriations from the State of Minnesota (Board of Regents Policy: Reservation and Delegation of Authority, Section VII). The State's biennial budget process requires the University of Minnesota System to present a two-year budget request to the State legislative and executive branches. The most recent biennial budget request preparations began July 2016 and concluded with State legislation passed May 2017 for FY2018 and FY2019 (Chapter 89, Sec. 4).

While the biennial budget request is in progress, the annual expenditure budget process begins (summary of expenditure budget processes by month). The annual cost pool budgeting process begins the August prior to the budget's fiscal year, approximately 10 months prior to the July 1 fiscal year start date. Support units prepare their budget requests in fall months, and academic units prepare theirs in winter months for the System's spring meetings. The President determines the budget for the

next fiscal year, which is reviewed and approved by the Board of Regents in June. After receiving budget information and instructions from the President in the summer as the fiscal year begins, UMD academic and support unit operating budgets are modified accordingly and contingency plans are developed to meet the financial needs for the institution. The reallocation process is described in Subcomponent 5.A.1.

UMD's administration and finance representatives meet with the President and System finance officers regularly to monitor budgets as well as actual revenues and expenses. The System's finance and budget leaders monitor unit balances and deficits (example: FY2013-2017 summary, UMD data p. 37-38). Units with balances must justify the existence and use of fund balances, whereas accounts running deficits over an identified threshold or over two or more years must establish plans to resolve such deficits. The System also conducts annual independent financial audits to monitor finances and reporting (example: 2016 audit report).

At various University levels, employees may be assigned one or more financial roles with clear delineation of responsibilities to facilitate the operation of the University's Financial System framework. Employees are expected to follow the System's finance policies, which include practices such as accounting and financial oversight, budget, cash management and investments, equipment and inventory, procurement and payment, and travel. All employees have access to the UM Reports system, where financial reports are generated to monitor revenues and expenses. Additionally, employees with access to the Enterprise Financial System (EFS) within PeopleSoft access various queries within the reporting instance to obtain information beyond standard UM Reports. Financial positions at the University require training provided by the System to utilize the reporting instance.

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5.B - Core Component 5.B

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

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

Argument

5.B.1. The University of Minnesota was established in Chapter 3 of Minnesota's 1851 Territorial Laws and perpetuated by the Minnesota State Constitution signed in 1857 (Article XIII, Section 3). University System authority is delegated by law to the Board of Regents and outlined in the Board of Regents Bylaws adopted in 1889.

The Board's responsibilities and authorities are specified in the Responsibilities of the Board and Individual Regents Policy and the Reservation and Delegation of Authority Policy. The Board enacts laws to govern the University; oversees curriculum; confers degrees; regulates tuition; reports to the State Legislature on behalf of the University; accepts fiduciary responsibility; ensures adequate human, financial, and physical resources; and approves major policies, long-range plans, educational programs, and annual budgets. Individual Regents have the responsibility "[t]o seek to be fully informed about the University and its role in the state and in higher education and to be responsive to the changing environments that affect it."

The Board of Regents provides oversight of policies and practices and meets its responsibilities by working as a whole through eight meetings per year and through committees as described in the Board Operations and Agenda Guidelines Policy. According to this policy, the Board's committee framework includes:

- Audit Committee: oversees risk assessment and internal controls, audits, financial reporting practices, and institutional compliance; is a direct channel to the Board for independent auditors and internal auditors. Meets four to five times per year.
- Academic and Student Affairs Committee: advises on academic priorities and the teaching, research, and outreach missions of the University; assesses academic programs; reviews academic program evaluations. Meets most months when the Board meets.
- Facilities and Operations Committee: oversees physical assets (land, buildings, infrastructure, equipment) and operations; oversees policy related to technology, operations and physical planning; reviews renewal, replacement, and new construction decisions; recommends capital projects. Meets most months when the Board meets.
- Faculty and Staff Affairs Committee: advises administration on faculty and staff compensation, benefits, recruitment, development, retention, and engagement; reviews employment issues and policies. Meets most months when the Board meets.

- Finance Committee: oversees fiscal stability and long-term health of the University; monitors financial operations, debt level, and investment performance. Meets most months when the Board meets.
- Litigation Review Committee: reviews litigation matters; obtains legal advice regarding University actions and their legal consequences. Meets four to five times per year, and as called by the Committee chair.

The Board of Regents maintains knowledge of UMD in multiple ways. First, Board membership includes one elected representative from each of Minnesota's eight Congressional Districts plus at-large members. UMD is in District 8, currently represented by David J. McMillan, Board Chair. The Student Representatives to the Board of Regents Policy also requires student representation to the Board, including one UMD student each year.

Second, new Board members receive orientation once appointed, and the full Board conducts retreats one to two times per year where information is shared and discussed about the System and its campuses.

Third, the Board continuously receives information about UMD through the standing Board and committee meetings. In March 2017, the Board specifically focused on learning about UMD by holding that month's meeting on the UMD campus (agenda, work session docket, meeting docket, minutes).

The Board of Regents maintains a website, which includes contact information for all Regents and the Board Office so that System constituents may communicate with the Board. Public records on the website include the Board's meeting agendas, docket materials, and minutes dating back to 2007 online, and prior documents are available through the Board Office.

Finally, during 2016-17, the Board of Regents assigned a System-wide task force to develop a University of Minnesota Strategic Plan. During the process, discussion and feedback sessions were held at each campus. The Board adopted the proposed plan as a strategic framework, and is seeking more information to develop priorities during 2017-18. Chancellor Black is on the Strategic Planning Oversight Committee charged with that task. Regent McMillan discussed this topic and several others during an October 2017 interview on KUMD, the UMD radio station.

5.B.2. UMD's model of shared governance includes three levels: 1) the University System, 2) the campus, and 3) collegiate units. All levels involve administrators, faculty, staff, and students.

System governance is known as the University Senate (homepage, organization chart). UMD representation in University Senate includes Faculty Senate (1 Academic Professional Senator), Professional & Administrative (P&A) Senate (4 Senators plus 3 Alternates), Civil Service Senate (4 Senators), and Student Senate (7 Student Senators). University Senate policies and procedures are specified in the constitution, bylaws (including committee charges), and rules. Due to federal and state labor laws, UMD representation on University Senate is limited to non-unionized faculty and staff employees.

The University President delegates authority of the UMD campus to the UMD Chancellor (Board of Regents Reservation and Delegation of Authority Policy). According to the UMD Constitution, the Chancellor has general administrative authority over the UMD campus, and UMD campus governance serves as advisory to the institution's administration. The current campus governance

structure, effective Fall 2017, includes a total of 15 standing senates, committees, and subcommittees with ex-officio voting and/or non-voting members comprised of administrators, faculty, staff, and students. Thirteen of the committees consist of elected voting members, which include 70 faculty, 38 staff, and 26 students.

The Chancellor may establish additional advisory committees as allowed by UMD's Constitution. Currently, Chancellor Black has two advisory councils: the Chancellor's Leadership Council, comprised of campus leaders meeting monthly throughout the year, and the Chancellor's Advisory Council, comprised of external stakeholders meeting twice per year. Both councils receive information and provide feedback to the Chancellor regarding UMD activities, policies, processes, and/or strategic directions.

UMD's Constitution recognizes that college constitutions establish their own rules and policies (Article IV), consistent with the Board of Regents College Constitutions Policy. College governance committees are specified in collegiate constitutions and bylaws: College of Education and Human Service Professions, College of Liberal Arts, Labovitz School of Business and Economics, School of Fine Arts, Swenson College of Science and Engineering. All units involve administrators, faculty, staff, and students in their committee structures as members with or without voting rights, as appropriate. These and other procedures are specified in the constitutions.

5.B.3. Recommendations and decisions for academic requirements, policies, and processes are established through structures involving administrators, faculty, staff, and/or students that are appropriate for the respective items. Administrators maintain decision-making authority and rely upon shared governance committees to provide advice in the form of recommendations, as described in 5.B.2.

Academic items at the department level, such as program proposals described in Subcomponent 4.A.4., are initiated within academic departments. Once an item is vetted through an academic department, the proposal is forwarded to the appropriate curriculum committee in the department's college. Faculty, staff, and students on the committees conduct reviews and provide input, though voting on curricula matters is limited to faculty. After the academic item is approved by the college's Dean, the item goes to the respective campus administrator in Academic Affairs.

Academic items at the college level may stem from the Dean's office, the college administration group, or college governance committees. Decisions are vetted throughout these groups for discussion and input, and may proceed to the college's senate or assembly for vote depending upon the item prior to the Dean's final decision.

Academic items at the campus level apply to programs across the institution and are brought forth through UMD shared governance in one or more committees, depending upon the item. During 2012-13, Campus Governance was reviewed and significantly modified to better fit the needs of the institution (old structure; new structure [including bylaws edits completed 2014]). The revised structure, which was reviewed and updated in Spring 2017, currently includes several academic-oriented committees:

- Faculty Senate (formerly Faculty Council)
    - Curriculum Subcommittee
    - Liberal Education Subcommittee
    - Graduate Programs Committee (formerly Graduate Council)

- Teaching and Learning Committee
  - Assessment Subcommittee

The 2013 shared governance revision also created the [University Coordinating Council (UCC)](#) to facilitate collaboration at the campus level across the committee structure. UCC is comprised of representation from all primary committees and serves as the mechanism by which the primary committees share information regarding agenda items. UCC facilitates policy input across the primary committees (example: Instructor and Student Responsibilities and Mid-Term Grade Alerts at [Teaching and Learning February 10, 2016](#); [UCC March 4, 2016](#); [Faculty Council March 25, 2016](#); [UCC April 1, 2016](#)). UCC also [provided guidance and coordinated processes for the Spring 2017 Constitution and Bylaws review](#).

Members of all committees are responsible for sharing information with their respective units/constituent groups and for providing input from their units/groups to the committees to further facilitate widespread contributions and collaborations from faculty, staff, and students.

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5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

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

Argument

5.C.1. UMD continually reviews and updates resource allocation decisions to ensure alignment with the mission and priorities while working within the bounds established by the System's finance and budget processes described in Core Component 5.A.

In FY2012, UMD was allotted $500,000 to assist in implementing the Strategic Plan described in Criterion 1. The initial round of Strategic Initiative Grants was awarded through an application process for Goals 1, 5, and 6. Faculty fellow positions were established to assist with overall implementation processes and to facilitate specific pieces of the Strategic Plan, such as the Faculty Fellow for Intercultural Initiatives aligned with Goal 2.

During FY2014, UMD's senior leaders launched Program Prioritization to inform resource allocations and reallocations. Recommendations stemming from faculty and staff committees provided actionable steps presented to the System's decision-makers (process). Subsequent years resulted in additional reallocations, which also aligned with the President's 2014 initiative to reduce administrative costs.

Prioritization processes also provide information on which to base decisions for academic investments to strengthen and grow programs where externally documented enrollment trends may warrant investment. Deans will be held accountable for prioritization and optimization decisions within their units during 2017-18, which were required as part of their annual SMART goals.

In addition to the institutional mission and goals, UMD establishes enrollment goals for student recruitment and retention that help guide campus priorities. A FY2016 Strategic Enrollment Management (SEM) priority to make more efficient use of existing resources involved identifying programs with capacity. Based on further analysis of program demand, SEM allocations occurred to increase enrollment and retention in targeted programs. Academic administrators determined enrollment goals and allocated non-recurring funds for years one and two of the plan (FY2016, FY2017). In year three (FY2018), SEM initiatives covering the reallocated costs through increased tuition revenues may receive funding on a recurring basis. Projected net revenue gains were $3.8M by FY2020, although actual gains will vary based on whether programs successfully meet the enrollment goals. Additional details regarding enrollment management are presented in Subcomponent 4.C.3.

The Student Life division includes four "auxiliary" units (Dining Services, Housing and Residence Life, UMD Stores, and Parking Services) as well as three units funded through student services fees (Kirby Student Center, Health Services, and Recreational Sports Outdoor Program). Auxiliary unit and student services fee-supported capital projects require System approval and are self-funded from revenues and fees generated.

The Director of Student Life Operations and other leaders in the Office of Student Life (Vice Chancellor, Associate Vice Chancellor, Council of Student Life Directors) develop annual plans for prioritization and completions of capital projects for all Student Life units. In FY2018, auxiliary units submitted $3M in projects for their six-year capital spending plan. Recent projects include Lake Superior Tower roof ($525,000), Goldfine Hall A window replacement and fire upgrade ($550,000), and Oakland Balsam Apartments window replacement ($550,000).

Operations and Maintenance resources are also allocated annually for facility repair and maintenance projects, which are informed by the System's Facility Condition Assessment reviews (example: September 2014 Board of Regents meeting agenda item; 2015 Facility Condition Needs Index) and by campus priorities, such as updating classroom facilities or converting classrooms into active learning spaces.

5.C.2. UMD continues to improve upon processes that link assessment of student learning, evaluation of operations, planning, and budgeting.

Past campus-level planning projects include the 2012-2013 UMD Internationalization Initiative and FY2014 Program Prioritization. The Internationalization Initiative process involved workgroups addressing undergraduate curricula and co-curricula, graduate education, and infrastructure, technologies, and resources (information, human, and financial) to develop the UMD Global 2020 Strategic Plan. These themes were also evident in Program Prioritization, which provided a comprehensive evaluation of all academic and academic support programs, by using rubric ratings for assessment and operations criteria. Ratings provided the framework for informing planning and budget recommendations.

Ongoing mechanisms for linking assessment, operations, planning, and budget at the campus level include the program review process and the shared governance structure. Academic program review requires a self-study that incorporates assessment of student learning reports, program operations (scholarship and creative activities, outreach, administration), resources, and strategic planning. Academic support program review also requires a self-study involving assessment, analysis of operations (staff qualifications, size and composition of staff, rationale for activities), resources, and program plan.

The shared governance structure, revised in 2013 and updated in 2017, includes committees whose work relates to 5.C.2. Because integration of assessment, operations, planning, and budget is expected to occur within the shared governance system (March 3, 2017 meeting minutes), the Assessment Subcommittee is developing a process for reporting and making related recommendations during Spring 2018. The process will resemble the Assessment Subcommittee's review of campus student learning assessment practices during 2016-17 that was distributed with recommendations to multiple committees and campus administrators for their consideration. Based on improvements to campus assessment practices implemented during FY2018 (summary) that are detailed in Subcomponent 4.B.2., the campus will be able to more effectively utilize student learning assessment data to inform decisions moving forward.

5.C.3. Planning at the institutional level considers internal and external constituent groups, as appropriate for the plan under development/revision.

UMD's 2010-11 Strategic Planning process involved administrators, faculty, staff, undergraduate students, graduate students, community members, and alumni. In addition to providing survey responses regarding UMD's strengths, weaknesses, opportunities, and threats, community members provided input on the campus's vision and the proposed plan. UMD Global 2020, a strategic plan for comprehensive internationalization, followed similar principles of inclusion through the development process by involving administrators, faculty, staff, and students from across the institution (committee report). Input was also provided by an external review team who conducted a site visit (review team report).

Internal and external involvement is also embedded within planning for campus facilities. The 2012-13 facilities Campus Master Plan Update Committee sought external input for effectively informing traffic issues related to buildings, parking, and roadways on campus as well as sustainability impacts. The planning process included City of Duluth officials and an open public forum. The City of Duluth was also represented on the UMD Energy Action Plan Committee in 2011.

Transportation and Parking Services completed a comprehensive parking and transportation study in 2016, with extensive information collected from internal stakeholders. Additionally, the Duluth Transit Authority regularly provides bus ridership data, which allows Transportation and Parking Services to evaluate and improve upon practices affecting campus commuters.

The 2013-14 Program Prioritization process accounted for the institution as a whole based on the evaluation of all academic and academic support programs by internal committees. Prioritization evaluation Category 6A incorporated program assessment, a process that encourages the inclusion of faculty, staff, and students and the consideration of external stakeholders (also refer to assessment expectations outlined in the assessment peer review rubric).

SEM is an ongoing planning and monitoring mechanism focused on student recruitment, retention, and graduation. Faculty and staff input is sought throughout SEM processes, with focused consideration on current and potential students (Guiding Principles). SEM's recommendations require comprehensive data collection and analysis, such as internal student surveys (2013-2016 results comparison) and institutional comparisons (2012 Competitor Analysis, 2016 Peer Institutions and ACT Scores).

5.C.4. As described in Subcomponent 4.C.3., SEM is the primary means by which UMD collects and analyzes data to understand capacity across academic programs (examples: 2012 data; 2014 update). Results are used to set goals (example: 2014 SEM goals) and to plan recruiting and retention strategies (2017 action plan update). As predicted, the State's number of high school graduates has declined during the past several years, placing pressure on the institution to recruit a sufficient number of students to maintain its revenues. SEM's recent work has emphasized the need to retain current students, which requires comprehensive and collaborative partnerships across the institution, especially for retaining at-risk students (2017 report).

Updates to the Campus Master Plan require similar understandings of capacity for facilities impacting academic and student affairs divisions. The Campus Master Plan Update finalized in 2013 assumed a

1-2% enrollment increase each year (assumptions). Although the increase was desired, the likelihood of achieving the goal based on SEM projections described previously was low. To better align SEM and facilities planning, the SEM Council and Facilities Subcommittee were placed into the restructured shared governance system in 2013. Both groups report to the Strategic Planning and Budget (SPB) Committee with the intent to better integrate these functions within campus strategy discussions.

The SPB Committee is central for sharing information regarding budget, enrollment, and facilities across the institution as new data and information become available. For example, the Facilities Subcommittee determined after considerable discussion in Fall 2016 to recommend suspending the addition of a planned parking lot on campus (Subcommittee report). At the December 15, 2016, SPB Committee meeting the Subcommittee's recommendation was further discussed. During Spring 2017, the new Chemistry and Advanced Materials Sciences (CAMS) building that was thought to have been placed on hold was included in the State Legislature's budget discussions, prompting campus leaders to proceed with the parking lot addition (May 5, 2017, SPB minutes).

5.C.5. Plans prepared at the campus level account for emerging trends. The SWOT Analysis conducted as part of the 2017 Strategic Plan update process included identification of demographic, social/cultural, political/legal, global, and technological factors to formulate opportunities and threats. Similarly, the 2011 SWOT survey sought to obtain perceptions regarding a variety of potential trends impacting UMD, such as high school enrollments and State resources.

SEM plans account for demographic and economic changes contributing to recruiting, retention, and graduation efforts (example: 2017 Student Retention Report). Undergraduate Program Prioritization Category 2C in 2013-14 accounted for the enrollment outlook of academic majors, provided by Hanover Research. Plans developed within the International Programs and Services office are mindful of political and legal impacts related to recruiting international students and developing partnerships with international institutions, as directed by University System Global Programs & Strategic Alliances.

Building projects across campus are intentionally developed for sustainable outcomes. In addition to LEED Certified Silver, Gold, and Platinum and other "green" structures built within the past decade, new parking lots promote environmental sustainability.

In December 2017, UMD described the development of a master housing plan to the Board of Regents, accounting for emerging factors such as on-campus student living preferences and data trends, opportunities to grow learning communities, and growth in specialized academic programs (docket narrative and presentation).

Because technology trends impact academic and operational plans, emerging technology factors are identified at the System level through six-year planning models that draw on the collective expertise of Communities of Practice (example: FY2017 project: Next Generation Network).

Sources

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- Strategic Planning - 2011 Process - Strategic Initiative Funds
- Strategic Planning - 2011 Process - SWOT Report
- Strategic Planning - 2011-12 Implementation Team and Process
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- Transportation and Parking Services - 2017 Improvements
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- University IT - Next Generation Communities of Practice

- University IT - Technology Planning
- University System - Cutting Administrative Costs
- University System - Global Programs and Strategy Alliance Overview

5.D - Core Component 5.D

The institution works systematically to improve its performance.

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

Argument

5.D.1. The University System developed outcomes and processes to document performance and hold itself accountable. Reports include:

- University Plan, Performance, and Accountability Report: an annual report presenting longitudinal data in key areas for the System and campuses (example: 2016 report approved February 2017 by the Board of Regents [minutes]; UMD information is presented on p. 13-17 and p. 44-50).
- University Progress Card: a set of measures for which data is regularly monitored by the Board of Regents to evaluate progress (July 2017 meeting docket presentation, minutes)
- Government and community relations reports: assessments of the University's economic impact available by county and legislative districts (website; sample report for Congressional District 8, where UMD is located)
- Public engagement reports (report listing)
- Annual reports of University research activity (2016 University Research and Commercialization of Intellectual Property Report)

UMD's performance is documented within System reports, and the campus identified specific performance measures for assessing progress toward its strategic goals (listing, as revised in 2016). Portions of the strategic goal data are documented in the Campus Labs system (data, p. 9-52). In Spring 2017, the SPB Committee coordinated a process to obtain information about campus goal activities from units across campus (May 2017 summary). An improved system of data collection and public reporting will be developed for the updated 2017-18 Strategic Plan goals and measures. Numerous campus units have identified, measured, tracked, and published performance measures for their respective goals (examples: Dining Services, Health Services, Housing and Residence Life).

Additional operational performance indicators include campus budgets as described in Core Component 5.A.; ITSS measures, such as improved system and customer service indicators (ITSS report); and various sustainability-related measures as guided by the Board of Regents Sustainability and Energy Efficiency Policy. UMD participates in the Association for the Advancement of Sustainability in Higher Education's Sustainability Tracking, Assessment & Rating System (STARS) that includes measures for academics, engagement, operations, planning and administration, and innovation (UMD 2016 performance ratings summary).

5.D.2. UMD's HLC Quality Initiative within the current accreditation review cycle focused on institutional learning and continuous improvement (2014 proposal; 2017 report). Important points documented in the report informing improvements within the past year include:

- Continued widespread involvement in strategic planning (281 survey participants, 88 town hall participants, multiple committees reviewing drafts)
- Inclusion of clearly articulated measures with the Strategic Plan (forthcoming)
- Development of tasks and processes within shared governance related to institutional effectiveness (example: Policy Recommendation Review and Approval Process)

Having clear measures of operational performance continues to improve campus sustainability efforts, as demonstrated by UMD's Silver STARS ratings. UMD's August 2011 score was 40.44 points (Bronze rating), which established a campus baseline. By 2016, UMD progressed in multiple categories to earn 57.78 points (Silver rating). The most notable progress was in Academics (integration into coursework across colleges, establishing a Liberal Education requirement in Sustainability) and Research (measurement of academic research reach, and support for student research in sustainability). The 2019 STARS goal is a Gold rating, which requires 7.22 more points than the 2016 review earned. UMD's Sustainability Committees in Education and Operations facilitate continued incorporation of sustainability within and across campus (Chancellor Cabinet recommendations, 2015).

Along with 800 schools across North America, UMD tracks and reports greenhouse gas inventory emissions via the Carbon Commitment reporting system through Second Nature. The data trend for UMD shows greenhouse gas emissions have stayed relatively steady over time despite an expanding campus footprint. This positive effect is primarily due to planned energy efficiency investments in new building construction, such as Swenson Civil Engineering (LEED Gold) and Bagley Classroom (LEED Platinum), as well as sustainable renovation choices and creative re-use of spaces in Kirby Student Center, Superior Dining, and Cina Hall.

Employee engagement was assessed across the System in 2013, 2014, 2015, and 2017 (now on a 2-year cycle) to monitor and improve upon operational drivers such as employee support, work-related resources, and work processes (website). Reports are provided at the unit level for discussion, action planning, and implementation (2015 Action Planning resource, 2017 supervisor resources), and longitudinal engagement data may indicate where improvements have occurred. Examples of specific changes in Student Life made after consultation about the results include:

- After the 2014 engagement survey, UMD Health Services worked to improve job conditions in order to allow employees to be more productive. New computers were purchased, and a phased computer replacement plan was designed and implemented. The engagement survey scale score improved on the 2015 results.
- After the 2014 results, UMD Stores formed an engagement team to focus on the topic of professional development. Changes were implemented that encouraged employees to use work time to attend on-campus seminars, take classes through the Regents scholarship, participate on campus committees, participate in webinars, and attend off-campus meetings and conferences. The score for that engagement survey result improved significantly in 2015.

The University of Minnesota Office of Internal Audits maintains a regular cycle of audits across the system to evaluate unit operations and follow-up as needed to ensure improvements are made (process; FY2017 audit list; example: Swenson College of Science and Engineering 2017 control report).

Non-academic programs may also conduct external review processes to identify improvements. Every three years, UMD Health Services goes through an accreditation review with the Accreditation Association for Ambulatory Health Care (AAAHC). The Fall 2017 accreditation review, which

resulted in the unit's reaccreditation for a full three-year period, showed substantial compliance ratings in all categories with the exception of the physical facility that received a partial compliance rating due to inadequate space. The unit has conducted a needs assessment to address the space issue, and findings are included in discussions to inform future capital project decisions. Other units in Student Life will begin a regular cycle of external review beginning in 2018.

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- Student Life - Dining Services Strategic Plan Report 2015-16
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- Student Life - Health Services 2016 Annual Report
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- University Employee Engagement Survey - 2015 Action Planning Resource
- University Employee Engagement Survey - 2017 Supervisor Resources
- University Employee Engagement Survey - Taking Action Website
- University Government and Community Relations Report - 2016 Congressional District 8
- University Government and Community Relations Reports Website
- University Plan, Performance, and Accountability Report - 2016
- University Plan, Performance, and Accountability Report - 2016 (page number 18)
- University Plan, Performance, and Accountability Report - 2016 (page number 49)
- University Research and Commercialization of Intellectual Property Report - 2016
- University System - Office for Public Engagement - Report Listing

5.S - Criterion 5 - Summary

The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

Summary

UMD must continue to be mindful stewards of its resources to effectively plan for the future and improve organizational outcomes. Continuous improvement examples related to Criterion 5 that are in-progress or forthcoming include:

1. Continuing to work with the System Budget Office and communicate resource needs; continuing to discuss opportunities and challenges of alternative budget models.
2. Utilizing 2017 (and future) engagement survey results at the unit level to identify and implement evolving employment practices that will strengthen engagement.
3. Formalizing program prioritization and optimization practices; establishing priorities and optimizing strategies that are separate from budget cutting activities.
4. Developing more structured use of measures and metrics to connect campus strategy with operations, facilities, and finance decisions.

Sources

There are no sources.