THE UNIVERSITY OF UTAH IN 2006

A REPORT TO THE NORTHWEST COMMISSION ON COLLEGES AND UNIVERSITIES

THE UNIVERSITY OF UTAH™

COMPREHENSIVE SELF-STUDY REPORT 2006

The University of Utah

SALT LAKE CITY, UTAH

TOGETHER WE REACH.

Prepared for the Northwest Commission on Colleges and Universities

October 9-11, 2006

THE UNIVERSITY OF UTAH™

THE
UNIVERSITY
OF UTAH

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August 15, 2006

Northwest Commission on Colleges and Universities
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Dear Commissioners:

On the occasion of the University of Utah's ten-year Accreditation Reaffirmation Review, and on behalf of the many faculty members, staff members and students who participated in the preparation of our self study, it is a pleasure to submit this report of the University's condition in 2006 to the Northwest Commission on Colleges and Universities.

We shall be pleased to welcome the Evaluation Committee to our campus in October, and anticipate that the insights and recommendations that result from its site visit will be valuable in our continuing assessment of the University of Utah's overall quality in relation to our ambitious mission.

Sincerely yours,

Michael K. Young

MKY/lm

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TOGETHER WE REACH.

OVERVIEW OF THE UNIVERSITY OF UTAH

The University of Utah is a public institution providing undergraduate, graduate, and postgraduate education to residents of Utah, nonresidents, and citizens of other countries. It is a research-extensive university located in Salt Lake City, the capital of the State of Utah. The University was founded in 1850 and initially accredited by the Northwest Association of Schools and Colleges in 1933. In addition, the University has invited over 30 specialized accreditation bodies to evaluate a wide variety of undergraduate and graduate programs. Oversight of the University is provided by the Utah State Board of Regents and the University of Utah Board of Trustees.

The University has undergone multiple changes over the past decade, some of which are still posing challenges:

- A semester system, adopted in 1998, that impacted curriculum design, scheduling, and facilities.
- The 2002 Winter Olympics, held on campus and in nearby venues, resulting in temporary changes in course delivery during spring 2002 and a substantial addition to the student housing stock.
- A continuation of upward movement in admission requirements.
- Increases in external funding for research from 141 million dollars in 1995 to 298 million dollars in 2005.
- New administrative leadership in the roles of president, senior vice presidents, and other University and college positions.

- Significant improvement in support for graduate students through increased tuition assistance and the availability of health insurance.
- Generous gifts by benefactors to both the S.J. Quinney College of Law and the University School of Medicine.
- Additional buildings either completed or under construction including the Moran Eye Center II and Warnock Engineering Building.
- A change from a liberal education requirement to a general education requirement.

Today, the University offers 4 graduate academic degrees, 22 professional graduate degrees, and several joint degrees. It also offers 7 bachelor degrees and an array of certificates at both the undergraduate and graduate levels. Over 75 majors and dozens of minors are available to undergraduate students, and almost 100 major fields of study are available to graduate students.

Student enrollment at the University was 29,012 in the fall of 2005, a number that is 7% higher than in the fall of 1995. At the same time, changes in the number and deployment of faculty and staff resources have occurred over the past 10 years. At present the University employs a tenured/tenure-track faculty of 1,390, down slightly from the 1,398 noted in 1996. Since 1996, the University has added the rank of lecturer; 127 full-time lecturers were teaching in the fall of 2005.

PROGRESS ON GENERAL RECOMMENDATIONS BY THE 1996 EVALUATION COMMITTEE

The 1996 evaluation committee made three general recommendations pertaining to the University of Utah. Each is identified in the space below along with a progress report.

Recommendation 1 (Educational Assessment):

- *Although the committee found assessment of educational outcomes to be present in some parts of the University, it notes the absence of an institutional assessment plan responsive to its mission. Therefore, in order to meet fully Standard V and Policy 25, the committee recommends that the University establish an institution-wide assessment of outcomes and their use for academic planning and the influencing of the planning process by the assessment activities*.
- *The committee recommends that the University, as part of its assessment of educational quality under Standard V and Policy 25, develop plans for regular institution-wide assessment of student needs and experiences for use in planning and evaluating University services for members of its increasingly diverse student body.*

In 2001, a regular interim report prepared for the Commission on Colleges by Dr. George Dennison noted that the University had made progress toward achieving the above goals. At the same time he reemphasized the importance of creating a *"comprehensive University plan for student outcomes assessment"* and " *the use of outcomes assessment data in the planning process*."

The University of Utah has addressed the above recommendations through a variety of mechanisms over the past several years. Establishment of the Student Outcomes Assessment Council and Working Group, whose members represent a cross section of University staff and faculty, was an important step in this process. The membership of this group is shown online at (*http://www.obia.utah.edu/2006Accred/acc/SOAWGCommRoster.php*). Their work has helped the University develop a campuswide assessment program that involves all segments of the campus in evaluating achievement of educational and other outcomes.

Creation of a University assessment plan that recognizes the decentralized nature of the campus was another important component responsive to the evaluation committee's recommendation. A description of the assessment plan is located at *http://www.obia.utah.edu/2006Accred/soa/StudentOutcomesPlan.pdf*.

An inventory of current outcomes assessment processes in place for academic units can be seen at *http://www.obia.utah.edu/2006Accred/soa/index.php*. The results of student surveys conducted by the University can be viewed at *http://www.obia.utah.edu/sdm/*.

Data and information gleaned from multiple assessment methods have been, and are being, utilized by both academic departments and University support units such as student affairs. Many, though by no means all, of the changes brought about in response to assessment information are detailed in the individual sections of this self-study. Equally important, the public presentation of the outcomes assessment processes helps spur other units to experiment with methods they might otherwise not have used.

An additional step in responding to the recommendation included identifying personnel who would play a major role in furthering assessment efforts across campus. For example, student affairs created an assessment and evaluation research unit while undergraduate studies appointed an assessment specialist. Academic affairs also provided a training session on assessment for departmental chairpersons, which gave them an opportunity to learn from their peers about which methods had proven most useful to them.

Units in both academic affairs and the health sciences utilize planning and evaluation processes that require each department to prepare a series of strategic goals for the forthcoming year and follow this up with an assessment of the extent to which the desired ends have been achieved. The strategic planning process used in academic affairs is referred to as SMART goals (the letters in the acronym standing for Strategic, Measurable, Achievable, Realistic, and Timely), and the system in place in the health sciences is called mission based management.

Of course, the evaluation of our own performance that preceded writing of this self-study served as an educational process for some academic units whose assessment efforts were weaker than others. Through the self-study process, individual academic programs received assistance in conceptualizing and documenting outcomes assessment measures appropriate to their units.

Most important is the ongoing use of assessment methods by various units across campus including libraries, physical plant, and student services. The wealth of data gained from these efforts has led to specific improvements across campus.

Recommendation 2 (Faculty Evaluation):

- *The committee found that in some programs the University has not consistently met the requirements of Standard VII, Policy 26, concerning the evaluation of faculty. It did find, in the self-study and interviews with senior administrators, agreement with the need to evaluate faculty performance. As with educational assessment, there has been uneven University-wide application of the Commission policy. Therefore, the committee recommends that in fulfilling its obligation to ensure quality and effectiveness of educational programs, the administration adhere to the policy requirement that every faculty member undergo some type of substantial performance evaluation and review every third year*.

The University responded to this recommendation through several mechanisms that were addressed in the interim report compiled by Dr. Dennison. Those mechanisms included a standardized student evaluation process, lodging responsibility for monitoring timely evaluation with a single administrator, and clarifying procedures for reviewing all tenured and nontenured faculty members. In keeping with the University's emphasis on decentralization, the processes and procedures differ from unit to unit, and the evaluation of faculty employs "multiple indices of performance."

To assist faculty in their professional development including teaching, the University also strengthened the services available through the Center for Teaching and Learning Excellence. Other services designed to enhance faculty members' teaching ability include the Technology Assisted Curriculum Center, Instructional Media Services, and the *lessons* journal published by the Center for Teaching and Learning Excellence.

Recommendation 3 (Library):

- *Standard IV requires that the library collections and services be sufficient in quality, level, scope, quantity, and currency to meet the needs of the institution's educational programs. The committee found evidence of deficiencies for library collections, particularly in journal collections in some programs and discipline areas. Therefore, since the deficiency has been the topic of a recommendation in both the 1986 evaluation and the 1991 fifth-year evaluation reports, it is recommended that the necessary steps be taken to ensure the institution's collections in its three campus libraries are sufficient to support the curriculum.*

The University of Utah responded to this recommendation in a progress report in fall 1998, and the Commission accepted the report in December 1998. The executive director's letter stated the Commission's satisfaction with the institution's progress in responding to this recommendation.

ELIGIBILITY REQUIREMENTS

The University of Utah complies with the Commission's eligibility requirements. A description of our compliance is shown below.

1. Authority. The University of Utah is authorized to operate and award degrees by the Utah State Board of Regents.

2. Mission and Goals. The University's mission statement as a higher education institution has been approved by the Utah State Board of Regents. The current mission is included in institutional publications such as the University of Utah *General Catalog* and online at *http://www.admin.utah.edu/president/mission.html.*

   Institutional planning strategies, goals, and objectives derive from the mission statement. The current strategic plan may be seen at *http://www.obia.utah.edu/2006Accred/stplans/Strategic_Plan_R.php.*

   Resources at the disposal of the University are directed to support the institutional mission.

3. Institutional Integrity. The University of Utah operates under policies that provide for humane treatment of individuals and animals and prohibit discrimination against identified groups of people. Complete lists of these policies are available at *http://www.hr.utah.edu/oeo/* and *http://www.research.utah.edu/animal/index.html.*

4. Governing Board. The Utah State Board of Regents is the agency responsible for oversight of the quality and integrity of the University of Utah and its programs. The board contains 18 members, all but 2 of whom are appointed by the governor. Two are members of the State Board of Education,

appointed by the chair of that board, and are nonvoting members. One of the governor's appointees is a student. Regents' policy precludes members having a pecuniary interest directly, or indirectly, in any contracts made in behalf of any institutions of higher education in the State of Utah.

5. Chief Executive Officer. The Board of Regents, after consultation with the Board of Trustees, appoints the President of the University and vests in that individual responsibility for operation of the institution. Presidents are not members of either the Board of Regents or the Board of Trustees.

6. Administration. The University provides a vast array of administrative and support services to help achieve the institutional mission and meet the needs of students, faculty, staff, and the community.

7. Faculty. As noted above, the University employs a core of tenured/tenure-track faculty, of whom 98% hold the terminal degree in their respective fields. Faculty are recruited, hired, and retained in relation to identified academic and research needs.

   Faculty have a shared responsibility for formulating institutional policy, participate regularly in academic planning, and play the primary role in curriculum development and review. They provide for student academic advising within individual programs and are evaluated in accordance with published college and University policies.

   Workloads of faculty are assigned by their respective supervisors and reflect both the capabilities of the individual and the needs of the institution and its students. The University's role as a research-extensive institution helps guide the process of workload assignment.

8. Educational Program. As noted earlier, the University offers a wide variety of degree programs at the graduate and undergraduate levels. Approval processes in place help ensure that new and existing programs are consistent with the mission and goals of the University. A significant number of the educational programs are also evaluated by specialized accrediting agencies to determine whether they meet certain standards of quality. All undergraduate degrees require a minimum of 122 hours, whereas graduate program requirements vary depending upon the degree.

9. General Education and Related Instruction. All baccalaureate degree programs require completion of a general education core that covers the areas of American institutions, intellectual explorations in fine arts, humanities, physical and life sciences, and social sciences, qualitative reasoning (math and statistics/logic), and writing.

   Total credits in the above general education areas typically range from 34-36 credits, depending upon courses selected by the student. In addition, bachelor degree requirements include an upper-division communication/writing course and a diversity course.

   Candidates for the B.S. or B.S.W. (Bachelor of Social Work) degree must complete two upper division quantitatively intensive courses and those seeking the B.A. degree must demonstrate competence in a foreign language or in sign language. Students select courses that will fulfill all of the above requirements from lists published in the *General Catalog* and online.

   Students transferring to the University without having met these requirements at their previous institution are required to complete them here. In addition to these general education and bachelor degree requirements, all undergraduates must complete a program of concentration or specialization. Students pursuing a graduate degree must also complete a program of concentration or specialization.

10. Library and Learning Resources. University-provided libraries include the Marriott Library, Eccles Health Sciences Library, and the S.J. Quinney Law Library. In addition to the vast holdings of these libraries, the University also provides significant technology and services for both faculty and students that, with the regular library services, support all of the University's educational programs.

11. Academic Freedom. The intellectual freedom and independence of thought expected of a major university are guaranteed at the University of Utah through a variety of mechanisms. These include the mission of the University, provisions of the *Faculty Handbook*, the *Code of Student Rights and Responsibilities*, and Board of Regents' rules.

12. Student Achievement. Each educational program has identified learning outcomes that students pursuing the program must achieve. Regular and systematic assessment is employed to help determine the extent to which students achieve the outcome. The results of this evaluation are used to improve the educational experience. Program requirements are published in the *General Catalog*, program bulletins, and course syllabi. A summary of academic units outcomes assessment activity can be found at: *http://www.obia.utah.edu/2006Accred/soa/StudentOutcomesPlan.pdf.*

13. Admissions. Policies and procedures governing admission are described in the *General Catalog*, in application materials, and on the University's Website. The University adheres to these policies in its decision making processes.

14. Public Information. Details about all aspects of the University's activities including mission, objectives, admissions, retention, cost and refund policies, student rights and responsibilities, grievance policies and procedures, academic credentials of faculty and administration, and other relevant information are published or otherwise made available to any interested party.

15. Financial Resources. The University of Utah has a stable funding base, adequate financial resources, and plans for financial development designed to fulfill its mission. It maintains a balanced budget and an appropriate level of debt.

16. Financial Accountability. The University maintains its financial records in accord with Utah State Board of Regents' policies and Utah and federal law and regulations. An annual audit is conducted with an accompanying opinion as to the University's financial statement.

17. Institutional Effectiveness. A continuous and systematic process of strategic planning, assessment, and evaluation is carried out by the University of Utah. Results of assessments are routinely available on various University Websites such as the Office of Budget and Institutional Analysis (*http://www.obia.utah.edu/*).

18. Operational Status. The University of Utah has operated continuously since 1872 and currently has students actively pursuing institutional programs.

19. Disclosure. The University affirms its commitment to disclose to the Northwest Commission on Colleges and Universities any information relevant to accreditation as the Commission requires.

20. Relationship with the Accreditation Commission. Standards and related policies of the Northwest Commission on Colleges and Universities are accepted by the University, which agrees to comply with each therewith. The University understands and

agrees that the findings of the Commission may be publicized.

THE SELF-STUDY: GOALS AND PROCESS

To be most effective, a self-study process should be an ongoing endeavor characterized by looking inward at the University and outward to the environment in which we exist. It should also reflect a continuous effort to assess progress toward accomplishing the University's mission, goals, strategic objectives, and academic achievements. This self-study meets that standard on a number of levels. First, it uses data gathered over several years by individual departments and colleges, institutional programs such as the Office of Budget and Institutional Analysis, the Office of Student Affairs, external accreditation bodies, internal reviews by The Graduate School, and reports to the Board of Regents and Board of Trustees.

Second, it identifies strengths and weaknesses in both outputs and outcomes and describes a process for responding to the problematic areas. Third, it has involved, in one way or another, many segments of the University community including faculty, staff, administrators, students, and governing boards. The opportunity to participate in the self-study process has been open, and information on the process has been shared in many venues including the University's accreditation Website: *http://www.obia.utah.edu/2006Accred/index.php*.

Fourth, the data gleaned from this systematic assessment process have resulted in identified changes in curriculum, teaching methodology, policies, and procedures. Many of these changes are highlighted within different sections of this self-study document. Finally, the self-assessment process has helped the University demonstrate compliance with the Northwest Commission's standards. This self-study document allows the University to describe how it meets these standards and, equally important, reinforces the self-assessment process that is a systematic and ongoing part of the University.

A steering committee was formed in the fall 2004 semester to begin the process of coordinating the University's self-study. A Gantt chart was created identifying appropriate timelines and areas of responsibility. Every important component of the University was asked to conduct a self-study that would identify their central purpose, describe the unit in sufficient but not excessive detail, discuss significant changes that have occurred over the past decade, and describe the results of assessment activities undertaken by the unit. In addition, units were asked to identify the ways in which assessment results have been used to affirm, modify, replace, or eliminate aspects of their program, policies, or procedures. In the case of academic departments and programs, each was asked to provide a copy of its self-study to the appropriate college, which was then asked to provide a college-level self-study.

The committee reviewed college self-studies at a series of meetings conducted over several months, providing feedback to deans that would produce a second round of self-study documents. This same process was applied to other units of the University such as student affairs, physical plant, and finances. These reports were then compiled and edited and the steering committee members provided additional suggestions for improvement. After all standards had been addressed, the University President and vice presidents were provided a draft copy and asked to comment. In addition, the draft copy was placed on the accreditation Website for comments and reactions by other segments of the University community. Subsequent to this level of review, final revisions were made and the document went to a copy editor and then to the printer.

The process followed in producing the final document has achieved the goals that were described above. The results obtained reflect not only the data collected and evaluated over time by various units of the University of Utah, but also identify changes that data analysis had suggested were needed. It also highlighted those features that are considered strengths of the institution and, at the same time, enumerated challenges that lie ahead. For the most part, challenges that were identified also fostered plans for their resolution. Some of these plans are immediate, others are short term, and some require longer term solutions that will require both years of effort and significant financial support. Many of the plans addressed in the self-study will provide better teaching/learning environments for faculty and students through modest improvements in such areas as physical plant, fiscal operations, and teaching tools. Several other plans described herein have the potential to absolutely and profoundly affect the future of the University of Utah.

One goal of the process that was achieved to a lesser degree was involvement of a wider array of faculty, students, staff, and administrators. Many segments of the University were invited to participate in some aspect of the entire process, but actual work devolved to a much smaller group. Participation from leaders of the campus student government was much lower than we had hoped. At the same time, the self-study process spanned at least two student government administrations, complicating consistent representation. Involvement of other segments of the institution was reasonably strong. Department chairs and program directors were responsible for preparing self-studies of their respective units. Deans and associate deans drafted their school and college self-studies and staff throughout the institution assisted by acquiring data, identifying potential materials for inclusion in the self-study, and reviewing drafts of the document. To the extent possible, the campus community was invested in the self-study process and contributed to the final document.

SELF-STUDY STEERING COMMITTEE

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EXECUTIVE SUMMARY: THE UNIVERSITY OF UTAH IN 2006

This self-study of the University of Utah was undertaken with the goal of providing a thorough, comprehensive, and up-to-date description of the structure, programs, and processes that characterize the University in 2006.

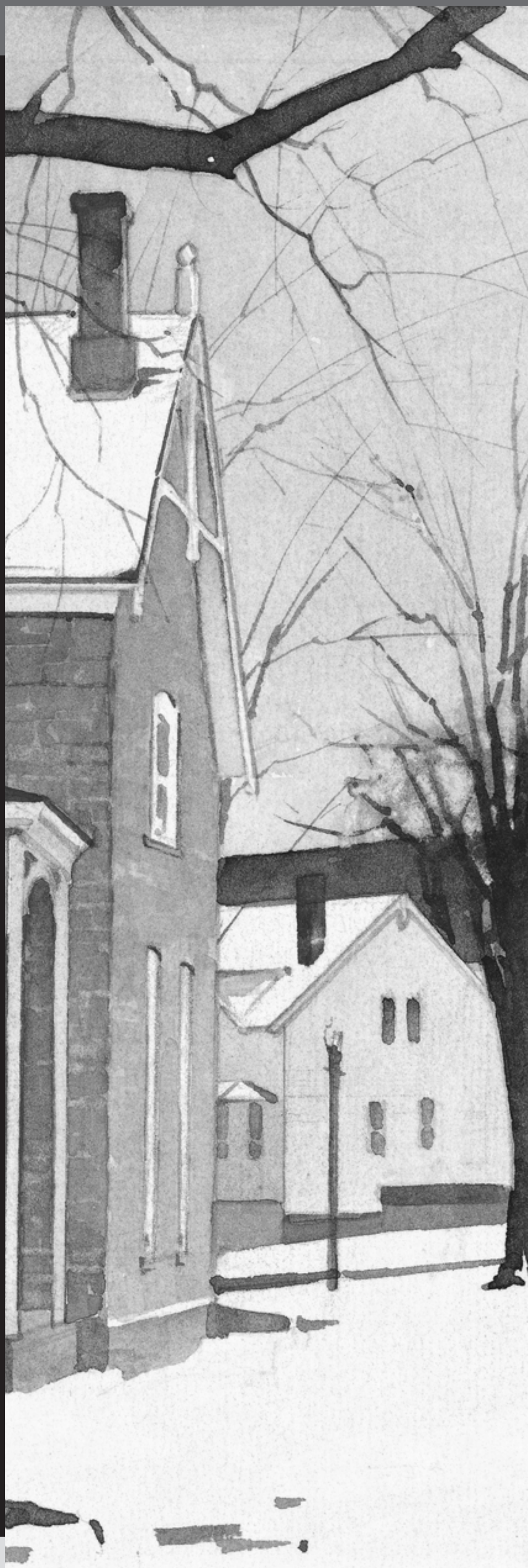
As evidenced in this institutional self-study, in the required documents, and in the exhibits from all parts of the campus, the University of Utah meets eligibility requirements and standards for reaffirmation of accreditation by the Northwest Commission on Colleges and Universities. The University has formal authority, provided through the Utah State Board of Regents with institutional oversight by the University of Utah Board of Trustees, to grant academic degrees and offer programs of instruction. The University maintains the essential intellectual freedom required to offer high quality academic programs while remaining responsive to its constituents. The objectives embodied in the University mission statement are aimed at providing high quality educational experiences for students, research in a wide variety of fields, and a range of services to the community, with substantially all of the income of the University being dedicated to these efforts in one fashion or another. The University has a funding base and financial resources adequate to carry out its mission; financial records are externally audited annually. Institutional policy-making and operation are a shared responsibility of all stake-holders of the University, including students, faculty, staff, administrators, and board members.

University faculty members have major control and prerogatives with regard to determining curriculum, and faculty members and students are free and encouraged to examine, discover, and disseminate knowledge related to their disciplines. Students, faculty, and staff are treated in humane and nondiscriminatory manners and the University takes a proactive stance with respect to equal opportunity. The programs offered by the University comply with Commission eligibility requirements regarding time to completion, degree program requirements for educational coherence, and planning of specializations.

This self-study identifies a number of prominent institutional strengths deserving commendation: (1) a highly effective administrative structure that balances decentalized responsibility for programs with central support for facilities and infrastructure, (2) comprehensive strategic planning, (3) progress in improving the quality of the undergraduate experience, (4) effective and imaginative integration of the University with the community, (5) comprehensive program reviews, (6) progress in University-wide outcomes assessment, (7) a dramatic increase in external research support over the last decade, (8) a major, new initiative that advances the commercialization of research, (9) the transition of Fort Douglas from a military base to a living-learning community, (10) tight financial and budget control, and (11) a combination of historically restored and modern buildings, attractively maintained grounds, and an outstanding physical setting that are sources of pride for the University and the community.

Current challenges for the University include: (1) attracting and retaining highly productive faculty and staff, (2) making our faculty, staff, and student body more diverse as the demographics of Utah change, and (3) finding the optimum structure for student outcomes assessment that will more readily lead to action agendas. The faculty and administration of the University readily acknowledge specific and limited areas where improvement is needed and recognize that continuous development and renewal are necessary for the University to thrive.

STANDARD 1
INSTITUTIONAL MISSION AND GOALS, PLANNING AND EFFECTIVENESS



TOGETHER WE REACH.

STANDARD 1.A – MISSION AND GOALS

1.A.1 The institution's mission and goals derive from, or are widely understood by, the campus community, are adopted by the governing board, and are periodically reexamined.

The last major revision of the University's mission statement was completed in 1990. The process was undertaken principally by the Academic Senate but involved input from faculty and staff at all levels, as well as student representatives. It resulted in the following overarching paragraph:

"The mission of the University of Utah is to educate the individual and to discover, refine, and disseminate knowledge. As a major teaching and research University, the flagship institution of the Utah System of Higher Education, the University of Utah strives to create an academic environment in which the highest standards of scholarship and professional practice are observed, and where responsibilities to students are conscientiously met. The University recognizes the mutual relevance and interdependence of teaching and research as essential components of academic excellence. It welcomes students who are committed to learning and who conform to high academic standards. The right of free inquiry is zealously preserved; diversity is encouraged and respected; critical examination and creativity are promoted; and intellectual integrity and social responsibility are fostered. The University is fully committed to the goals of equal opportunity and affirmative action, which are designed to ensure that each individual is provided with the opportunity for full, unhampered, and responsible participation in every aspect of campus life."

Closing the Loop: Updating the Mission

The University of Utah's mission statement is now 16 years old. That fact, combined with changes in programs, new institutional directions and activities, and the challenges faced by research-extensive universities, underscored the need to revisit the statement. To ensure that the mission statement remains current and reflective of the institution's purpose, the University created a broadly representative committee that includes faculty, deans, students, and administrators. The committee is chaired by the 2005-06 president of the Academic Senate, Professor Robert Flores. The committee was responsible for reviewing and revising the mission statement. The proposed revised statement has been approved by the Academic Senate and Board of Trustees and is awaiting action by the Utah State Board of Regents.

The mission statement continues with a delineation of the University's various colleges, research emphases, and areas of public service, which might best be described as specifying role and scope. Although the University's mission has remained constant for some time and is unlikely to change fundamentally as a result of the current review, the strategic goals of the University have changed periodically. These changes have been in response to developments in the environment, the vision and priorities of institutional leaders, and the evolving salience of particular issues across time. As is true for the mission statement, high level strategic goals are reviewed by both the Board of Trustees and Board of Regents.

Certainly the tripartite mission consisting of instruction, research, and public service is widely known and accepted in general terms by all critical constituencies. The University plays a major role in the state with respect to all three areas. At that high level of abstraction, the role of the University was decided long ago and there are no calls for change. Nonetheless, as this document is being prepared the University is reviewing its mission statement.

The review is prompted in the first instance by a request from the Board of Regents to all Utah System of Higher Education institutions to make sure that their mission statements are up to date. The Board of Regents pay close attention to the mission issue when they are engaged in strategic planning or when institutions seek a change in their mission. In recent years they have begun to pay more attention to strategic goals as well. Although the mission statements of some institutions in the Utah System of Higher Education have been a focal point recently for the Board of Regents, in the University's case they are likely to be interested primarily in our strategic goals.

1.A.2 The mission, as adopted by the governing board, appears in appropriate institutional publications, including the catalog.

The mission statement appears in the University of Utah's *General Catalog* (p. 8 of the current edition) and on the University's Website at *http://www.admin.utah.edu/president/mission.html.*) The Board of Regents' synopsis of the mission of the University appears in their master planning document (*http://www.utahsbr.edu/assets/download/masterplan2000.pdf*.) along with their own goals in support of the University.

1.A.3 Progress in accomplishing the institution's mission and goals is documented and made public.

Aggregate student data including enrollment, credit hours earned, average credit hour loads, average grades, and degrees awarded are made available in a timely manner on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu*) for the University community and the general public. Data from numerous student and alumni satisfaction surveys are also available on the Website. Similarly, the Website contains data on research expenditures, a surrogate for research accomplishments.

The University has been reporting performance results on a biennial basis to the Board of Regents and the legislature since 1992-93 (see Appendix 1.1). These data are in the public domain. Some items, such as credit hours taught per faculty and credits to graduation, reflect the legislature's interest in efficiency. Others, such as licensure pass rates, reflect student outcomes. The most comprehensive list, submitted prior to the 2005 legislative session, included a total of 45 indicators; the list for 2006 was slightly shorter (see Appendix 1.2).

The University has an active public relations unit that seeks opportunities to share information about University accomplishments, especially with respect to research findings. Individual colleges also employ a variety of means to keep their constituencies informed about success in all three aspects of our mission. The University Hospital is aggressive in sharing results of surveys and rankings that demonstrate its service to the community.

1.A.4 Goals are determined consistent with the institution's mission and its resources—human, physical, and financial.

The University enjoys the freedom of movement that comes with having a very extensive and broad mission. The resources available at the University are adequate to carry out that mission, albeit in a measured way. In what follows we list the strategic objectives in our current, 2005 strategic plan and relate them to mission and resources.

Strategic Objectives

- **Support the growth of interdisciplinary teaching and research programs, as defined by faculty and student interests, through targeted funding and special incentives.**

According to the mission statement, the University "*encourages interdisciplinary work*." We currently support numerous interdisciplinary instructional programs. For example, eight such programs are housed in the College of Humanities alone. Another four can be found in the College of Social and Behavioral Science, and the various health sciences colleges have numerous interdisciplinary programs such as medical ethics and programs in the neurological sciences. Various interdisciplinary research projects are underway supported by federal and private sources, such as the Center for Simulation of Accidental Fires and Explosions (C-SAFE) project, which involves faculty from six departments.

During fiscal year 2006, we added incentives for faculty and departments to increase their participation in interdisciplinary teaching and research. The amount of incremental funding involved is modest, but we expect it to grow. We have requested state support for interdisciplinary studies. In addition, our single largest current initiative to create new momentum in research is the Brain Institute, which is fundamentally predicated on an interdisciplinary approach to research. When fully implemented, this effort will involve millions of dollars, additional space, and hundreds of researchers.

- **Extend and enhance international education and research so that the international perspective permeates the campus and the vision we share with our students and each other.**

The mission statement calls attention to the international perspective and alludes to the changing world. In discussing this objective in the strategic plan, we note the wealth of international experience already possessed by students and faculty. We need to build on these strengths by adding centers for Asian and Latin American studies and creating an Institute for Public and International Affairs. We need to send more students and faculty abroad, and we need to draw more faculty and students from abroad. We have identified and committed some additional resources and are actively seeking support for our efforts from both governmental and private sources.

- **Invest precious discretionary resources (1) to further programs with demonstrated strength and long-term viability and (2) to enhance areas with the greatest potential to benefit our students and society.**

This goal recognizes that our resources are limited and must be used wisely if we are to carry out our mission effectively. We believe that one way to do so is to build on programs that have strong track records. Promoting programs with the greatest potential is another way, although often more difficult to gauge. Presumably even the wealthiest of universities must target their investments to some degree, but it is certainly true for us. Any reasonable comparison of core funding (state appropriations plus tuition) will show that the University makes do with less than average funding per student. For example, in fiscal year 2004 the University received about 85% of the average of such funding among the 10 institutions selected by the Board of Regents for comparative purposes (see Appendix 1.3). That group contains a number of institutions whose reputed quality and known resources are well beyond ours, but the University's relative position is about the same when measured in the same manner against a much larger, more inclusive group of public research universities with medical schools (Appendix 1.4).

- **Increase the quality of the student body by progressively increasing admissions standards. Hold the size of the entering class of first-time students to approximately 3,000 annually while increasing the size of the student body at the upper-division and graduate levels in concert with the state's ability to fund additional students.**

According to our mission statement, the *"University welcomes students who are committed to learning and who conform to high academic standards,"* and "*the University commits itself to providing challenging instruction for all its students*." Resource limitations and our role within the Utah System of Higher Education impact both the number of students and the quality of our student body.

The University has two critical roles related to enrollment within the Utah System of Higher Education: (1) provide university-level undergraduate education across a wide range of disciplines for students with no previous college experience and for students who begin their collegiate studies elsewhere and (2) provide the bulk of graduate education, especially at the doctoral and first professional level. Our enrollment management strategy is consistent with our mission, strategic objectives, resources, and role in the Utah System of Higher Education. Our intent is to (1) gradually increase admission standards for freshmen while recruiting approximately the same number of new freshmen each year, (2) accommodate a modest increase in transfer students, and (3) seek a modest increase in the number of graduate students. We have in fact experienced slow, orderly growth over the past 3 years in line with our plans. Fall headcount has increased by an average of three-fourths of 1% per year, with the increase consisting primarily of transfer and graduate students (see Appendix 1.5).

Although we are gradually increasing our undergraduate admissions index, we do not aspire to become a highly selective institution. We would not have the resources required to pursue that objective successfully, nor would that objective fit well within the Utah System of Higher Education. We can, however, become somewhat more selective, and we have the resources to add a modest number of highly qualified students to the undergraduate mix. We also have the resources to strengthen our Honors Program as one means of ensuring that such students have the academic experience they expect and could get at a highly selective college or university.

The proportion of our students at the graduate level is relatively low when compared to typical percentages at other large, public, research-oriented universities (see Appendix 1.6). Starting in the late 1990s, we began encouraging a gradual increase in the proportion of graduate students with an eventual target of 25%. We did so in part by providing financial rewards to academic departments that experienced an increase in graduate enrollment. From fall 2000 to fall 2005 the proportion of graduate students increased from 19.9% to 21.9%.

- **Ensure that every University graduate receives, in addition to quality classroom instruction, an enhanced education as evidenced by participation in at least one in-depth engagement experience with the faculty.**

As noted above, our mission statement includes reference to offering students "challenging instruction." Although our own survey data indicate that students are generally satisfied with classroom instruction, data from a national, benchmarked survey show that on one dimension at least we are not doing as well as we believe we should. Even after taking into account the many rationalizations that we might offer up, including "commuter school, most students work, a high proportion are married by the time they are seniors," and the fact that the scores improved from the first to the second survey, the data from the National Survey of Student Engagement are not encouraging with respect to student engagement. For example, in 2000, in response to the question "have you worked with classmates outside of class to prepare class assignments," the average response of seniors was 2.51 (1=never, 2=sometimes, 3=often, 4=very often). In 2004, the average improved slightly to 2.64, but still trailed the national average for research universities (benchmark) of 2.78. (Survey results can be seen at *http://www.obia.utah.edu/sdm/*.)

In his inaugural address in spring 2005, President Michael Young reiterated the University's commitment to the engagement goal. Do we have the resources to provide a curriculum that engages each and every undergraduate? It will be a stretch to be sure, but we believe that it is within our means over time. We have been gradually expanding the LEAP Program, which is designed to help the average new first-time student get off to a good, productive start at the University. A total of 675 students were enrolled in this small class-size, cohort program in fall 2005, or about one-fourth of all new first-time students. We have been adding resources to the Honors Program and enlisting additional support and participation from departments and colleges in the program. Thousands of students enroll in service learning courses each year. We are adding resources to expand our Study Abroad Program. We will need to find resources to expand the Undergraduate Research Opportunities Program. Typically 100 students per year now participate in the program. Another 125 to 175 per year participate in the Biology Undergraduate Research Program. In fiscal year 2004, 8,221 undergraduates (36%), had the sort of engaging experience we want all undergraduates to have at some point in their career at the University.

- **Ensure that students, whether they enter as first-time or transfer students or in a graduate program, earn their degrees expeditiously, so as to optimize the use of their time and money as well as that of others who help pay for higher education.**

Although our mission statement makes no reference to time to degree, we believe that this issue is implicit in the stewardship role that all universities have not to waste resources—their own or anyone else's. Unfortunately, we have found that this particular form of waste, students' time and money, is complicated to comprehend and difficult to eradicate.

The complication stems from the dual nature of the responsibilities involved. Both the University and students share responsibility for the problem. To address the problem effectively, we need to know roughly who is contributing what share and how. We have obtained pertinent information over the years from student surveys. For example, according to our most recent graduating senior survey, conducted in spring 2005, nearly 30% of respondents believe that the University is responsible for delaying their progress to graduation by at least one semester. A third of those respondents indicated that personal matters had added at least a semester to their time to degree. Undergraduates who begin their collegiate careers at the University take 11 to 12 semesters on average to graduate with a 4-year degree, amassing about 142 credit hours (most academic majors require 122 to 126 credit hours).

By including time to degree as a strategic objective, we are signaling our intent to focus attention on mitigating the University's share of this problem. One avenue we are pursuing is the enhancement of our analytical and tracking tools. We hope to gain understanding by unpacking data on the student body, rather than addressing it as a whole. We now have on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu*) data that show time to degree for various subgroups of students, either backward from year of graduation or forward from year of entry. The unit of analysis can be students who participated in programs such as honors or undertook particular majors, grouped by status at entry (undergraduate first-time, undergraduate transfer, or graduate student). In the hands of central staff, department chairs, and program heads, these tools should help us uncover differences in behavioral patterns that we can then use in developing corrective measures. More in-depth surveys are planned as well.

Those same analytical and tracking tools will help us better understand two related issues: retention and graduation rates. Measuring these behaviors precisely, much less understanding them fully, is not easy in our context. The decision of many of our undergraduates, especially men, to go on 2-year missions for the Church of Jesus Christ of Latter-day Saints confounds most of our statistics on retention, graduation rates, and time to degree, making it difficult to develop valid comparisons with other institutions or even to be sure we are interpreting trend data correctly. For example, the unadjusted freshmen-to-sophomore retention rate has increased from 61.1% for the cohort entering in 2000 to 67.4% for the cohort entering in 2004 and the adjusted rate, which attempts to take church missions into account, increased from 77.3% to 82.4% over the same period. The latter figure is now close to our benchmark (the average for 21 public universities was 84.5% based on data collected by the University of Oklahoma). However, the adjusted rate is just an estimate. (Following guidelines provided by the National Center for Education Statistics, we reduce the size of the initial cohort before calculating the retention rate.) We do not know precisely what the true rate is. We continue to work with the Church of Jesus Christ of Latter-day Saints officials in an effort to obtain better access to the relevant data.

The same sort of imprecision pervades our analysis of graduation rates. Adjusting for church missions (again by reducing the size of the initial cohorts), our 6-year rates have been as high as 55% and as low as 50% for freshmen cohorts beginning their studies in the 1990s. The high figure is for the 1998-99 cohort graduating in 2004-05, and the low is for the 1997-98 cohort graduating in 2003-04. We believe that the graduation rate will continue to move upward at a gradual pace. Factors that are likely to increase future graduation rates include recent increases in retention and an increase in the proportion of students living in on-campus housing. In addition, our efforts to improve student engagement, to understand and fix impediments to timely graduation, and a gradual increase in the overall quality of the student body are likely to facilitate this trend. Nonetheless, a working group was formed in the fall of 2005 to focus efforts on increasing undergraduate retention and graduation rates.

As the public 4-year institution in the state's most populous urban center, we try to accommodate many part-time students with night, off-site, and summer courses. In so doing, we both facilitate degree completion by that population and encourage more students to study on a part-time basis. The net effect on time to degree completion for the student population as a whole is unclear, but we are serving a group of students who have few alternatives in securing a 4-year degree.

- **Translate the University's recognition of diversity as a core value into effective strategies (1) for the recruitment and retention of a diverse student body, staff, faculty, and administration and their inclusion in the University community, and (2) for the integration of diversity issues into the academic content of its programs.**

Our mission statement specifically affirms the University's commitment to equal opportunity for all. Efforts to improve diversity within the University community are not new. The inclusion of this goal in our current strategic plan reflects this ongoing commitment and a sense we still have work to do.

We have made some progress in becoming more diverse. Ethnic minorities among faculty and staff are somewhat better represented today than they were in the past. For example, 16.5% of regular (tenured/tenure-track) faculty were members of ethnic minorities in the fall of 2004, compared to 8.67% in 1999.

Despite these gains, the University faces challenges. Will we have sufficient resources to compete for diverse faculty? We use a revolving fund to aid in hiring ethnic minority and female faculty in areas where they are underrepresented. The fund is revolving slowly, however, and we have found it difficult in recent years to augment it. Will it be sufficient going forward as salaries escalate? We need to be sure we are getting the most we possibly can from the resources we have. With that assurance in hand, we lay the groundwork for possible increases in those resources.

The extent of ethnic diversity within our student body has increased gradually over the years. Excluding foreign students, the proportion of ethnic minorities has increased from 4.89% in 1980 to 9.9% in 2005. Our 2005 share is slightly above the 2004 Utah System of Higher Education average (8.8%). People of color now comprise 15% of Utah's population but we do not know how many of those individuals are prepared for college. In recent years, the share of our incoming freshman class who are members of ethnic minorities has been 12% to 13%, which is essentially the same as the percentage of recent Utah high school graduates who are members of ethnic minorities. However, only 6.2% of new transfers in fall 2005 were students of color.

Even though we can take some comfort in the fact that we are currently in the "ballpark" with respect to the number and proportion of enrolled ethnic minority students, we do face a serious challenge going forward. The mix of students coming out of Utah high schools, the source of 80% of our incoming freshmen, is changing and will continue to change for the foreseeable future. By 2015, it is projected that 25% of Utah high school graduates will be members of ethnic minorities. Will those graduates be prepared for University-level studies? Will they be willing and financially able to attend college? Over the past several years, we have taken a number of steps designed to increase the odds in their favor. Through our University Neighborhood Partners Program (see Appendix 1.7), we have a significant presence in an area of the community wherein ethnic minorities are well represented. We provide faculty to teach science classes at a charter high school with a relatively high proportion of minority students (30% versus the Salt Lake school district average of 18%). We have developed a program to attract more minority students to careers in the health sciences, secured private and University-funded scholarships designed to assist first generation college students (many of whom are from ethnic minority populations), and created an additional administrative position to further organize and energize our outreach efforts. Those efforts to date would appear to be reasonably successful (see response to 1.B.4 below).

Beginning with students graduating in spring 1999, the University has included a diversity course in its requirements for a bachelor's degree. We cannot say definitively whether that requirement is effective in increasing awareness of and appreciation for diverse values, points of view, and so on, but there are encouraging signs. For example, we have seen positive movement in the number of seniors who, in response to the National Survey of Student Engagement, say that they often have conversations with someone of different ethnic extraction: 51% responded affirmatively in 2004 compared to 41% in 2000. We will examine the impact of the diversity requirement in our graduating senior surveys.

- **Maintain national recognition for service learning education while continuing to provide relevant continuing education programs to local communities and promoting community-based research and scholarship.**

Our mission statement refers to the University as a *"contributor to public life."* It encourages the University's faculty and staff to "*contribute time and expertise to community service*."

Service learning education is one important way in which our faculty and students make those contributions to our community. National studies have consistently ranked our service learning program as one of the best in the nation. Beginning in 1987, it was one of the first such programs. During 2004-05 we offered 120 service learning course sections, with a total unduplicated enrollment of 4,649. Maintaining this level of commitment will not require extensive incremental resources, but we will need to continue supporting the Bennion Center which is the organizational and spiritual hub of our service learning program.

The University has had an active continuing education program for decades. We provide credit and noncredit courses for members of the community, both on and off campus. In 2004-05, a total of 24,665 registrations were recorded by our Academic Outreach and Continuing Education unit across various credit and noncredit bearing activities. Academic Outreach and Continuing Education's funding, a combination of an allocation from the central administration, tuition and fees for services rendered, and a modest amount of extramural funding (most recently from the Osher Foundation to establish a center for lifelong learning) will need to be maintained but not augmented appreciably to meet the stated objective.

University faculty members have a long record of community-based research and scholarship in areas as diverse as archeology, architecture, civil engineering, economics, education, history, and psychology. With the advent of the University Neighborhood Partners Program and the Associate Dean of Undergraduate Studies for Outreach, we have additional avenues to generate opportunities for research in a truly cooperative mode between University faculty and west side communities. Our investment to date has been modest. It will need to be sustained at least at current levels. As expected, the University Neighborhood Partners Program has been able to garner significant extramural funding, so the University will not have to provide for all the resources deployed in this activity.

- **Recognize that the University's future is tied to the state's economic success and expand our impact by partnering with state and local entities to foster economic growth, prosperity, and improvement of life for our citizens.**

This goal relates to our mission's statement of commitment to applied as well as basic research, and to the University's role in facilitating the application of research findings to the health and well-being of Utah's citizens.

During the 2006 legislative session, the legislature agreed to provide funding for an economic development initiative (Utah Science, Technology and Research Initiative, USTAR) wherein the state and the two research universities (Utah State University and the University of Utah) will partner in new ways to create conditions conducive to strong economic development. The state will provide funding for additional faculty and research space. The two universities will focus the research efforts of the additional faculty on projects likely to generate both extramural funding from federal and private sources and new knowledge transferable to business and industry.

The University has been relatively successful over the years in technology transfer. In the most recent data provided by the Association of University Technology Managers, we rank 16th in the number of inventions per million dollars of research expenditures, and we have done at least as well in years past. To increase our chances of being able to maintain if not improve this performance, in fiscal year 2005 we created a new position, Vice President for Technology Ventures. The person chosen for this new position, Jack Brittain, is also the executive dean of our business school, where he has worked hard to enhance the education we provide our students in entrepreneurship and venture capital investing. He will be looking for ways to partner those nascent business skills, and those of the business faculty, with the research and development expertise of our faculty in engineering, the sciences, medicine, and pharmacy.

- **Provide access to (1) reliable, secure, high-capacity networks, (2) increasingly powerful computers, data storage centers, and library information resources, and (3) skilled technical support staff so that our faculty, students, and staff can use electronic media to achieve their teaching/learning, research, and community service goals.**

Our mission statement does not address networks, computers, or data centers. The library does get passing attention, but as a public service resource for the community. These instruments, though, are crucial to our success in achieving our tripartite mission. They make much else achievable in contemporary fashion. The mission statement refers, for example, to "*cooperating in research and creative activities with other agencies and institutions of higher education*." In today's world, much of that cooperation happens through computer networks. No university claiming to be a major player in research can do without a powerful, ubiquitous computer network, secure data storage, vast information resources, and able technical staff. Instruction, too, is becoming increasingly dependent on sophisticated technological support. The same can be said for patient care, the vast bulk of our public service effort. These critical electronic resources make it essential that we include networks, computers, information resources, and technical staff as part of our strategic plan, particularly as administrators make budget plans.

The resources involved are huge. Indeed, it is a fair question to ask whether the University will have the resources to meet this strategic objective. The glib answer is that of course we will because we cannot afford not to. A more thoughtful answer would be that at the present time we are holding our own, that we compare, as best as we can tell, reasonably well with similar universities, and that the University has shown a strong commitment to maintaining an appropriate level of service. We are part of the group of research universities that operates on the fastest networks. Student computer fees, which originated in the 1980s, now contribute more than $5 million annually in support of student computer labs, portals on the Internet, and other aspects of computing that directly support student computing needs. Along with those student fees, support from general funds, research overhead funds, hospital revenues, and other user fees combine to give computing and networking a broad base of support. We believe that we will be able to afford a system that adequately supports our institutional mission for the foreseeable future.

- **Aggressively seek funding from state, private, federal, and internal sources to upgrade our most important older buildings and classrooms while also moving forward with critical new construction demanded by growing student populations and research opportunities.**

Maintaining, upgrading, and expanding our physical facilities are necessary if we are to achieve our teaching, research, and public service missions. The resource requirements are daunting. From 1999 through 2004, we undertook $629 million in major renovations and new construction. Of that total, 21% came from the state, with the rest primarily from donations. Projects underway as of fall 2005 total $208 million (30% from the state). There is no reason to think our needs will be any less in the next decade, or that we cannot be successful in generating substantial support from those same sources.

Closing the Loop: Improving Building Safety

As the University assesses the quality and quantity of its physical plant, it has identified areas of concern that require substantial resources to remedy. A particular facilities concern is that we have seismically unsafe buildings. Chief among those are the School of Medicine Building and the Marriott Library. We are currently renovating the latter to address the seismic issue and to make major technology upgrades at a cost of more than $70 million. The School of Medicine Building is not suitable for renovation. We have started constructing a series of replacement facilities. (The Health Sciences Education Building and the Emma Eccles Jones Research Building will be completed in 2005-06; the Moran Eye Center II will open in 2006-07.) New space has been acquired or is being leased in Research Park. If all goes according to plan, we may be able to empty the School of Medicine Building during calendar year 2010.

We are currently spending about $2 million a year on small renovation and remodeling projects, not counting remodeling for research faculty start ups. We have been averaging $8 million a year in state funds to address major maintenance issues, which is roughly sufficient to keep our deferred maintenance at current levels.

- **Improve the structure, climate, and procedures for assessment across the campus so that assessment is more extensive, more coherent, more heavily focused on outcomes, and more explicitly embedded in the feedback loops and decision-making processes.**

The mission statement provides support for a strong commitment to assessment, as it refers to creating an academic environment where "*responsibilities to students are conscientiously met.*" In the section on research, it states that the "*University measures achievement against national and international standards*," and notes that *"rigorous assessment and review are central to advancing its research programs and creative activities*."

In developing a comprehensive student outcomes assessment plan in fall 2004 (see *http://www.obia.utah.edu/2006Accred/index.php*.), we concluded that we have the resources to do assessment effectively. What we need to do is bring greater cohesiveness to our efforts and to weave assessment deeper into our institutional culture. Accordingly, we have attended to structural issues wherein we more deliberately integrate the assessment efforts undertaken by evaluation specialists in institutional analysis, student affairs, and undergraduate studies. We have cataloged assessment efforts in academic departments (see the accreditation Website at *http://www.obia.utah.edu*) and are trying a variety of ways to share and inculcate best practices throughout the University.

- **Protect and strengthen the University's underlying financial structure by integrating long-term financial considerations into all strategic and major tactical decisions in an effort to achieve year-over-year financial stability, good standing in the financial markets, and adequate reserves to address unforeseen problems and economic downturns, as well as opportunities, as they arise.**

Sound financial planning and management will be needed if the University is to maximize the achievement of its tripartite mission given the resources at its disposal. This objective stresses the need to embed the long-term perspective into our financial dealings whenever possible. It reflects our recognition that our financial affairs are growing increasingly complex. This complexity precludes attempting to create a single master financial plan for the University, but we are making increased efforts to better coordinate the wide variety of financial planning we regularly undertake (see Standard 7). We can accomplish this strategic objective without added resources.

As the above objective-by-objective analysis shows, our current strategic plan is consistent with our mission and with our resources.

1.A.5 The institution's mission and goals give direction to all its educational activities, to its admission policies, selection of faculty, allocation of resources, and to planning.

Educational Activities

We believe all programs of study (majors and minors) currently being offered fit within our mission and goals. One source of evidence is the process of curricular review that occurs for all courses. Curricular review occurs at the department and college levels, and at the University level (Undergraduate and Graduate Councils, curriculum committees). All courses offered for academic credit by the University are offered under the auspices of one or more academic departments. New majors also must be approved by the Academic Senate and Board of Trustees and are subject to a thorough review and approval process by the State Board of Regents (the latter process is described at this Website: *http://www.utahsbr.edu/policy/r401.htm*).

We believe our general education and University graduation requirements are also consistent with our mission and goals. One way we ensure this is through area committees that serve as gatekeepers and evaluators to verify that courses labeled as "general education" fit the purpose intended. The most recent change in University graduation requirements, the requirement that every undergraduate must take at least one course (from a prescribed list) dealing with international issues, effective fall 2007, flows directly from our most recent strategic plan (see strategic objective for international focus), as does our diversity requirement implemented in the late 1990s.

Admission Policies

In accordance with our strategic goals to enhance the quality of the undergraduate student body and to improve the odds of students graduating in a timely fashion, we have gradually raised the minimum admissions index score. Simultaneously, to address another strategic goal, we have left a little room (up to 5% of an entering class) for students who score below the minimum but who have special talents or who come from diverse and disadvantaged backgrounds, if a unit on campus will sponsor them. The extent to which we can handle these latter students in a responsible way, particularly those from disadvantaged backgrounds, constrains the number we can admit.

Selection of Faculty

The faculty selection process is described in detail under Standard 4. It would be a rare faculty member who would be hired into a tenure-track position without a strong prospect that he or she will be successful at teaching and research, scholarship, or other creative work. Likewise the criteria for achieving tenure reflect the requirement that faculty demonstrate both teaching and research abilities and have an adequate record of service as well (see Standard 4 for discussion of retention, promotion, and tenure polices). In fall 2004, 89% of our 1,124 full-time instructional faculty and 40% of 558 part-time instructional faculty held a terminal degree in their discipline. The University also hires significant numbers of faculty for specialized roles, to focus on teaching, research, or clinical activities.

Allocation of Financial Resources

During difficult financial times we have protected the academic side of the institution relative to the administrative side, albeit modestly. For example, in the budget reduction for fiscal 2003, we cut most academic units 4.7% compared to 5.7% for most administrative units. Our basic budget allocation model for academic units automatically moves resources in accord with changes in student demand. We have been adding resources to selected high engagement, proactive programs for undergraduate students (e.g., Honors Program, LEAP Program, undergraduate advising) to help achieve our goals of increasing undergraduate student retention and enhancing the students' undergraduate experience.

We are allocating resources specifically to meet objectives laid out in our strategic plans and highlighted in President Young's inaugural address, most notably with respect to student engagement, interdisciplinary activities, international activities, diversity, and community involvement. For example, we maintain a pool of funds administered by the Associate Vice President for Diversity, which is used to help hire and retain both female and ethnic minority faculty. We have created the University Neighborhood Partners Program in part to promote community involvement of our students and faculty. Program support that would help to assist in building student engagement and international activities is featured in our funding request to the legislature for fiscal year 2007 funding.

Periodically we require that departments raise stipends for teaching assistants to remain competitive in recruiting graduate students, the training of which is an essential part of our mission. We provide resources for special programs (joint programs in molecular biology and biological chemistry and in neuroscience) designed to attract a modest number of very strong graduate students primarily in the life sciences. We provide generous graduate student stipends ($23,000 per year plus health and dental insurance) in those programs to be competitive in that high-end market.

We have constructed teaching, research, and service arrangements to be mutually reinforcing for students and faculty. Perhaps the best example of that is in the health sciences. The University provides opportunities for hundreds of undergraduate and graduate students to have appropriate educational experiences in the health sciences within our hospitals and clinics. At the same time, the hospitals and clinics provide sizeable financial support each year to the School of Medicine for educational and research purposes. (The amount transferred to the School of Medicine in 2004-05 was $24 million.)

With help from the legislature we have been building up our College of Engineering over the past 4 years in an effort to significantly increase the number of engineering graduates. This has been a planned expansion and a successful one to date. The College of Engineering awarded 584 degrees in 2005 compared to 413 in 2001. Incremental state funds have gone to the college, with matching funds (for the ongoing support) coming from the University.

It is part of our mission and goals to reach out to our community. We do this in many ways. For example, we have established the University Neighborhood Partners Program wherein we have a physical presence in that portion of our community where ethnic minority residents are concentrated. This presence helps the residents and the University in a variety of ways. Students and families are helped, for example, to learn English, manage their finances, and prepare for college. University faculty members and students are given opportunities to connect with the community and undertake community-based research. By early fall 2005, 60 faculty members, over 100 graduate students and undergraduates in six service-learning courses were involved with the community through the auspices of the University Neighborhood Partners Program (see Appendix 1.7).

Planning

The breadth of our programs is such that decentralized planning makes sense. The pertinent issues in the hospital, for example, typically bear little resemblance to those in the College of Fine Arts. The two largest planning units are the health sciences (with numerous subsets including the four health science colleges, the health sciences library, and the hospital), and academic affairs (again with numerous operating units including 11 colleges, the main library, the law library, two museums, The Graduate School, continuing education, student affairs, and cross-cutting curricular programs such as the Honors and LEAP Programs). In addition, some plans are University-wide, including: (a) strategic goals, (b) the long-range development plan for expanding the campus, and (c) plans and strategies we use in submitting budget requests to the state and in guiding and coordinating private fund raising efforts. We expect college goals to be congruent with the University's mission and current strategic goals.

In the latest round of strategic planning, in fiscal year 2005, the colleges developed their own goals during the spring of 2005 at least in part in response to a draft of the University's strategic objectives, which was developed in the fall of 2004. An example would be the strategic objective of the David Eccles School of Business to "Develop interdisciplinary programs that build on the strength of the larger University…" which connects to the University's strategic objective to "Support the growth of interdisciplinary teaching and research programs.…"

1.A.6 Public service is consistent with the educational mission and goals of the institution.

Public service is integral to our education mission and goals. Patient care, by far our largest single public service item, makes possible the practical, real-time education of physicians, nurses, pharmacists, physician assistants, and a host of other students preparing for careers in health care (physical and occupational therapists, social workers, audiologists, etc.). The health sciences along with our two public television stations and a public radio station, the Utah Museum of Fine Arts, the Utah Museum of Natural History, and State Arboretum demonstrate that we have a huge stake and commitment to public service. In all of these cases, we strive to integrate service activities with educational objectives. For example, our Museum of Natural History reaches 150,000 school children each year with traveling talks and exhibits in school rooms. More than 28,000 individuals participated in educational programs provided by the Red Butte Gardens and Arboretum in 2003-04. Two regular University faculty members hold joint appointments in an academic department and the Museum of Natural History. Each year several students get practical experience in broadcasting through internships with our broadcasting operations (excluding the student-run radio station). Students work on various projects designed to inform public policy through our urban planning program in the College of Architecture + Planning.

1.A.7 The institution reviews with the Commission contemplated changes that would alter its mission, autonomy, ownership or locus of control, or its intention to offer a degree at a higher level than is included in its present accreditation, or other changes in accordance with Policy A-2 Substantive Change.

The University has not undergone any changes that would alter its mission, autonomy, ownership, locus of control or other changes in accordance with Policy A-2 Substantive Change. Such changes would be brought to the Commission for review.

STANDARD 1.B – PLANNING AND EFFECTIVENESS

1.B.1 The institution clearly defines its evaluation and planning processes. It develops and implements procedures to evaluate the extent to which it achieves institutional goals.

At the campuswide level, the University employs a variety of planning and education processes including:

Mission Based Management

Under the direction of Senior Vice President for Health Sciences Lorris Betz, mission based management has been the dominant annual approach to planning for the health sciences, or "upper campus," since 1999. Among other features, mission based management is a management tool to implement strategic plans. Updated annually, this tool assists management at all levels in the health sciences achieve the desired balance among teaching, research, and clinical activities (effort, time, resources) unit by unit as well as overall (see *http://mbm.uuhsc.utah.edu/mbm* for details).

In implementing mission based management to date, considerable attention has been paid to the development of standard reporting systems for both financial records and faculty productivity data, which allows leadership to monitor and adjust as needed the balance between educational, research, and service (clinical) efforts (time, resources, outputs). Goal achievement is a featured element within mission based management (see Appendix 1.8).

SMART Goals

The dominant approach to planning on the "lower campus" in years between updates of strategic plans has been SMART goals. Under the direction of Senior Vice President for Academic Affairs David Pershing, SMART goals are meant to be specific (sufficiently detailed), measurable, achievable, realistic, and time bound. Academic and student services units develop and review their goals annually with senior administration (see Appendix 1.9).

A SMART goals presentation is in two parts. One part is an assessment of the achievement of the prior year's goals (see Appendix 1.9). The various units have wide latitude in how they respond in assessing goal achievement. Greater attention to systematic, thorough evaluation is warranted. The second part is the establishment of goals for the coming year.

Long Range Development Plan

The long range development plan, a detailed plan for building out the campus (see Standard 8), is periodically reviewed and updated. This involves an extensive process including many individuals on campus as well as outside experts in campus design. It is led by Associate Vice President for Administrative Affairs Michael Perez.

Integrated Information Technology Strategic Plan

This is a detailed, campuswide plan for new integrated information technology projects, information technology policies, and the University's strategy for information technology and is led by Associate Vice President for Information Technology Stephen Hess. He and his staff work in concert with the Information Technology Council, consisting of 39 faculty, staff, and administrators from across the campus (see Appendix 1.10). These plans are reviewed and updated during the fall semester each year on a regular time schedule. The Information Technology Council meets monthly.

The evaluation portion of the integrated information technology strategic plan is systematic. Evaluation of the prior year's efforts is a key component of this management tool and does not need further attention.

Strategic Planning

Strategic planing occurs periodically but without a fixed schedule, and the schedule can vary somewhat between upper and lower campus. Participants may vary, although the processes are led by the senior vice presidents and reviewed by President Young. The involvement of the Faculty Budget and Planning Advisory Committee and the Council of Academic Deans is a given as well, but beyond that there are no set rules regarding participants. The academic units themselves are given considerable latitude in their approach to developing strategic plans, with the result that there is variation across units in process and in style.

Research Priorities

Traditionally planning for research has not been systematic when viewed from a University-wide perspective. The decentralized nature of the institution has been a contributing factor. The University's overall strategy, to build on emerging strengths, rather than to pick areas to develop from the ground up, is another contributing factor. It should be noted, however, that given our successful negotiations with the legislature for a major infusion of support for research, we will of necessity have to become more systematic in determining priorities for a major portion of our research effort—if we are to deliver on our economic development promises to the legislature.

Program Review Process

Ten academic programs are reviewed each year following a standard format, including selection of internal and external reviewers, data presentation, wrap-up session, and annual follow up. Led by the associate dean for academic affairs of The Graduate School, this process now includes a greater focus on student outcomes following a review of the strengths and weaknesses of student outcomes assessment University-wide.

Student Outcomes Assessment

Historically, student outcomes assessment has not been a strong point at the University. It tended to lack integration, cohesiveness, and follow through. In fall 2004 we developed a plan to address these shortcomings. As of fall 2005 we have made considerable progress in building foundational data systems, creating greater focus (on engagement, progression, and learning), undertaking a variety of surveys, and establishing an inventory of assessment activities, as well as a leadership and coordination structure for student outcomes assessment.

Student Affairs and Undergraduate Studies

These two organizational structures represent a large number of services and programs for students. In recent years they have become increasingly involved in evaluation activities. They both employ evaluation specialists and have structured approaches to evaluation. In recent years, both units have put much greater emphasis on outcomes assessment.

Evaluation activities vary considerably across individual academic units. As part of the student outcomes assessment plan, we are cataloging the various activities and gradually developing a better sense of our strengths and weaknesses. We think we can move ahead by facilitating the sharing of best practices and are taking steps to that end. We are also aggressively developing Web-based tools and data presentations to assist academic units in monitoring the effectiveness of their programs (see, for example, the "department profiles" on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu*).

1.B.2 The institution engages in systematic planning for, and evaluation of, its activities, including teaching, research, and public service consistent with institutional mission and goals.

Teaching

All academic units developed long-range (5-year) strategic plans during the 2004-05 academic year (for summaries of those plans, go to the following Website: *http://www.obia.utah.edu/2006Accred/index.php*). Significant portions of those plans pertained to the University's instructional mission. In the immediate prior years academic units developed SMART goals (academic affairs units) or participated in mission based management planning activities (health science units). In 2005-06, academic affairs units again developed SMART goals and health science units participated in mission based management. The overall process is designed to identify long-range strategic planning every 5 years or so, with short-range planning and evaluation activities in between. Goals to be worked at within a given academic year are the focus of the short-range exercises. Those exercises begin with a look back at what was accomplished in the prior year.

As noted earlier, the University developed a comprehensive student assessment plan in 2004 (submitted to Northwest Commission on Colleges and Universities in October, 2004). We have been following the plan, which has enhanced the rigor and cohesiveness of our student assessment efforts. For example, the plan contains a schedule of student surveys to be conducted over several years, descriptions of various student tracking tools, and an inventory of evaluation activities at the academic department level (available at *http://www.obia.utah.edu/2006Accred/index.php*).

We track what students do upon graduation, both centrally and at the program level. References to the latter activity can be found in the college reports (Standard 2). Two central administrative units do follow-up work on graduates. The Office of Career Services has gathered data on student placement each spring for 18 years (see Appendix 1.11). In the spring of 2005, Career Services tried a Web-based survey linked to the graduating senior survey conducted by the Office of Budget and Institutional Analysis. They gleaned some additional data using that approach, but were not satisfied with the response rate. Accordingly, the old survey will be reinstated and used in conjunction with their Web-based survey in 2006 and beyond. Detailed data based on the survey and organized by major field of study now appear on the Offices of Career Services Website where they are readily accessible to both departments and students (from their main site, *http://careers.utah.edu.*, click on "Choosing a Career" and then on "Who Hires our Graduates").

As noted earlier, the Office of Budget and Institutional Analysis conducts an annual Graduating Student survey. The survey measures students' satisfaction on various dimensions as well as tracking their postbaccalaureate plans. Survey results are available on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu*). For example, of the respondents in spring 2004, 25% indicated that they intended to go on to further schooling within the following year. It appears that not all of them fulfill that intent so quickly. The Office of Budget and Institutional Analysis also uses the National Data Exchange to track students who go on to postbaccalaureate training. For 2001 graduates, 23% were found to be in school sometime between then and 2004-05. For 2003 graduates, just under 20% made it to graduate school by 2004-05. The Office of Budget and Institutional Analysis conducted a survey of alumni in spring 2006. It will be repeated every 2 years. We have participated in employer surveys through the Utah System of Higher Education, but we have not found the results useful thus far due to the inadequate sample sizes.

Over 30 University programs undergo periodic, specialized accreditations (see Appendix 1.12). Approximately 47% of our students are in those programs. Over time these accrediting groups have added a focus on student outcomes to complement their traditional focus on the quality and quantity of inputs. For this segment of our instructional offerings, we are subject to a healthy, detailed assessment by outside experts. On occasion, this leads to significant resource allocation decisions. For example, over a 2-year period starting in 2005-06 we will be adding a dozen regular faculty to the David Eccles School of Business, all of whom will be assigned to teaching undergraduates, in order to meet the standards (share of credit hours taught by tenured/tenure-track faculty)

Closing the Loop: Enhancing Student Course and Instructor Evaluation System

The University has long had a system for students to evaluate their courses and instructors, but the methods in use were problematic. These difficulties included the inability to compare departments or colleges and the idiosyncratic nature of the instruments employed. To alleviate these problems, the University made major changes to student course and instructor evaluation system in the late 1990s. We adopted a common evaluation scheme across all departments and subsequently changed the system from paper to an online mode (with no reduction in the student participation rate; it remains at 72% on average, which we believe is one of the higher rates in the country). We now compare evaluation scores across units easily, inexpensively, and in statistically valid ways (see, for example, the course evaluation component of the departmental reviews datamart on the Office of Budget and Institutional Analysis Website (http://www.obia.utah.edu).

established by the Association to Advance Collegiate Schools of Business.

Research

We monitor the number and dollar amount of research awards as well as the amount of reimbursed overhead in the aggregate and by college. This must be done systematically because we use the information as the basis for allocating reimbursed overhead funds.

At the institutional level, we look at comparative data from the National Science Foundation and the annual study done on research universities by The Center at the University of Florida. At the department level, we compare research dollars per faculty member against national benchmarks provided through participation in the Delaware Study of Instructional Costs and Productivity. We have not made good use of these data, however. Typically they have not gotten much further than the Office of the Senior Vice President for Academic Affairs. Our intent is to integrate them into the decision support packages we will be providing the deans and department chairs. Our current version of these packages can be found on the Office of Budget and Institutional Analysis Website (see the Departmental Reviews datamart).

The University's extramural awards (excluding scholarships and fellowships) have grown from $64 million in fiscal year 1984 to $299 million in fiscal year 2005 (see Appendix 1.13), or 367% in current dollars. This growth, which is 155% in constant dollars, has been accomplished largely without appreciable growth in the number of regular, tenured/tenure-track faculty. The University employed 1,353 regular faculty in fiscal year 1984 compared to 1,387 in fiscal year 2004, or an increase of just 2.5%. For just those faculty in engineering, science, and medicine, the percentage increase was greater, 4.4%, but still minuscule when compared to the growth in extramural funding.

We need to add faculty and research space if we are to grow. Our commitment to the pursuit of new knowledge remains fundamental to our mission. In the most recent round of strategic planning, we included in our strategic objectives the goal of fostering economic development in the State of Utah. In deploying the initial funding for this initiative, our first incremental research teams will be in brain research and information technology, which build on our strengths in genetics, cognitive science, biomedical engineering, and computer science. These were rather obvious choices. As the initiative goes forward, and we find ourselves confronted with the task of choosing several additional research teams per year for several years, we will need planning approaches that are more systematic and far reaching than we have employed to date.

Public Service

Our hospitals and clinics carry on extensive planning and evaluation processes on a continuing basis. Health sciences conducted a major market analysis in 2005, which resulted in a change in how they brand their patient care services. Our public television and radio stations keep a close watch on consumer preferences. Our radio station changed its format dramatically a few years ago in response to those preferences (more news and talk shows, less music).

1.B.3 The planning process is participatory involving constituencies appropriate to the institution such as board members, administrators, faculty, staff, students, and other interested parties.

Participation of constituencies varies by the particular planning process under consideration. At the highest level, the Board of Trustees plays an important consultative role in assisting the University President in developing strategies regarding issues that are politically sensitive in the community and involve complex business relationships. The Board of Regents reviews the University's mission and strategic goals on occasion. They annually review and approve our development plans for the campus.

The most recent strategic planning exercise on the lower campus was led by Senior Vice President for Academic Affairs David Pershing, who chaired a drafting committee consisting of administrators, faculty, and students. The draft University-level plan was reviewed by a faculty committee (Faculty Budget and Planning Advisory Committee) and then a revised draft was reviewed by the deans of the colleges and schools and other vice presidents. The penultimate draft was reviewed by President Young. Colleges were then asked to develop (or update) their own strategic plans in light of the strategic objectives found in the new University-level plan. Executive summaries of college's and other unit's strategic plans are available at *http://www.obia.utah.edu/2006Accred/index.php.*

On the upper campus, an important role of mission based management has been to create a structure for consensus via the Mission Based Management Advisory Committee. School of Medicine department chairs and faculty serve 2- to 3-year terms on the Mission Based Management Advisory Committee. This has created an opportunity for the chairs to adopt an institutional perspective as they work through schoolwide issues. The Mission Based Management Advisory Committee has also served as a communication channel where committee members can bring concerns to the group, and they are expected to take back pertinent information to their faculty and colleagues. The mission based management Website at (*http://mbm.uuhsc.utah.edu/mbm*) serves as an important communication tool, containing committee meeting minutes, strategic planning documents, budget templates, budget guidelines, models, and reference documents.

The National Advisory Council, consisting of 20 prominent individuals from across the country, can serve as a sounding board to discuss University initiatives. Typically, however, the National Advisory Council serves to help the University accomplish goals already chosen.

The majority of our colleges (11 of 15) have advisory boards that include or consist entirely of community members. Although the School of Medicine does not have such a board, the health sciences have eight boards. In a few instances, such as the College of Education, individual departments work with groups in the community. The College of Education works with staff from school districts and the State Office of Education. In other instances, such as the College of Nursing and the College of Social Work, there is a good deal of necessary interaction between the colleges and various service agencies in the community. The David Eccles School of Business currently has four advisory boards (one national, three from the community).

In some instances, community members play major if not dominant roles in planning. For example, this was true in planning for the University Neighborhood Partners Program launched several years ago, as part of ongoing efforts by the University to reach out to disadvantaged segments of the community. It has also been true as the University seeks to help itself and the state remain competitive for the best science and engineering talent. We have been heavily involved with various segments of the business community in planning for that endeavor. Budget planning for the hospital at the oversight level includes trustee and community representatives. Plans for developing the campus or changing traffic flows in and around campus are discussed in monthly meetings with neighbors.

The planning necessary to prepare a submission to the State Board of Regents for approval of a new major/degree is extensive. It requires the involvement of faculty and students potentially involved directly in the proposed new degree, the cognizant college, administrators from either undergraduate studies or

The Graduate School, and the concurrence of the Academic Senate, the cognizant senior vice president, the president, and the Board of Trustees, before submission to the Board of Regents. Although not all of these entities typically play an active planning role, as opposed to reviewing and approving a proposal, they all need to be satisfied in one way or another, which results in considerable input into the process.

The annual SMART goals meetings, normally held in the fall, bring together the leadership of each individual college (usually the dean, associate deans, and department chairs) with the Senior Vice President for Academic Affairs, the dean of Undergraduate Studies, the dean of The Graduate School, and the Associate Vice President for Budget and Planning. Similar meetings are held with the staff of the Marriott Library and Division of Student Affairs. The focus of these meetings is to review past progress on goals and to delineate goals for the current academic year.

The Offices of Student Affairs and Undergraduate Studies share an advisory board, the Board of Visitors for Student Initiatives, established in the fall of 2002 to advance the case for excellence in student affairs and undergraduate studies, provide counsel to the Associate Vice President for Academic Affairs and Vice President for Student Affairs, and to support the long-term initiatives of student affairs and undergraduate studies. Twenty-one community members served on the Board of Visitors in 2004-05.

Ad hoc planning groups are formed on occasion to deal with a particular issue. For example, the Tuition Committee (led by the Associate Vice President for Enrollment Management, and including faculty, staff, and students) has met once a term for several years in addressing the issue of the timing and rules for charging and collecting tuition. The group has proceeded by making modest policy changes, reviewing the results of those changes, and then making more changes on the basis of those results.

In summary, numerous planning activities and numerous pathways to participate in those activities take place in any given year. The tempo and level of participation have increased the past several years because of the strategic planning cycle, efforts to reach out to disadvantaged segments of the community, and efforts to focus research and development in ways that directly support economic development in Utah.

1.B.4 The institution uses the results of its systematic evaluation activities and ongoing planning processes to influence resource allocation and to improve its instructional programs, institutional services, and activities.

The bulk of our resources are allocated on an incremental basis wherein base budgets move forward from one year to the next without much change. Programs, services, and activities change slowly, and not always because of evaluations or planning. That said, we can point to numerous examples wherein evaluation and planning have influenced resource allocation or led to improvements.

- The University's Graduate School directs 10 academic program reviews each year. These reviews always conclude with a memorandum of understanding in which the parties (the relevant senior vice president and The Graduate School dean on one side and the dean and department chair on the other) agree in writing on how deficiencies are to be addressed. In some instances, the actions required entail resource allocation commitments from the senior vice president (see Appendix 1.14). The Graduate School follows up annually on the agreements to determine whether adequate progress is being made. New rules for informing the Board of Regents about these reviews will strengthen the case for rigorous and systematic follow-up procedures.

- The Assessment Office within the Office of Undergraduate Studies undertakes a variety of assessment activities each year, including managing the work of the five area committees responsible for ensuring the integrity of our general education offerings. Courses occasionally lose their eligibility. From 1998 to 2005, the seven curriculum committees that regularly review courses–fine arts; humanities; physical, life, and applied sciences; social and behavioral sciences; communication/writing; diversity; and quantitative intensive--have reviewed, approved or reapproved 507 courses. Those reviews resulted in 44 requested changes to course syllabi, 12 course deletions, and 2 outright denials of designations. We have, however, been falling behind our review schedule. This has prompted a change in procedures, adopted in fall 2005.

- In the mid to late 1990s, the University experienced significant instances of bottleneck courses, too many restricted-entry undergraduate majors, and periodic enrollment shortfalls. We tracked these phenomena through our then telephone registration system, student surveys, and interviews with department chairs. We tried partial fixes for awhile (for example, providing "bottleneck" funds to make it possible to add course sections), but eventually concluded that something more systematic had to change in the manner in which we were funding our academic units. As a longer-term and more fundamental response, we subsequently adopted at the beginning of the decade an approach in which academic units are funded in part on the basis of the student credit hours they generate. The incentives thus created for those academic units have led to desired results. Students find it easier to register for the courses they want, access to at least some majors has improved, and we have experienced enrollment growth rather than shortfalls. On this basis, the 2003 ad hoc committee that reviewed the efficacy of the budget model recommended its continued use (see Appendix 1.15).

- Based on our current strategic plan, we are committing additional resources to achieve four strategic objectives: increased emphasis on interdisciplinary studies, an international emphasis in instruction and research, increased student engagement, and expanded efforts to assist in state economic development.

- In recent years we have committed additional resources to advising, the LEAP Program (our freshmen cohort program), and the Honors Program, and have seen a gradual improvement in retention rates. We currently have a working group examining what additional steps we might take to continue the improvement. We are pursuing better data and more understanding as well as considering possible interventions. We expect that additional resources will be required and have already included requests for additional funds in the run-up to the 2006 legislative session.

- The University has participated in the Delaware Study of Instructional Cost and Productivity (housed at the University of Delaware) for many years. In some years, we have used the comparative data from the study to constrain the otherwise formulaic allocations that flow through the credit-hour driven component of the budget model. Departments that grew but were shown to be seriously underproductive when compared to their peers, for example, the College of Mines and Earth Sciences, were denied growth funding. Departments that were judged to be producing too many credit hours per faculty member given their other responsibilities, for example, the Department of Sociology, were allowed to cut back on the amount of instruction without the budget penalty that would otherwise have occurred. Similarly, although based on recommendations flowing from a graduate program review rather than the Delaware data, we have allowed the Department of Educational Psychology to reduce the size of its doctoral program without budget penalty.

- We systematically monitor projections of high school graduation numbers in Utah including projections disaggregated by ethnicity. We know from these analyses that we will face a different group of potential students 10 to 15 years from now, with the proportion of ethnic minorities among Utah high school graduates increasing from 12% to 25%. We have begun to take steps to address this issue. We developed scholarship programs to bring additional students of color to our campus and student support systems to help them succeed. Of the first cohort in one such program (Utah Opportunity Scholars), 17 of the original 20 students received their bachelor's degree in spring 2005. We initiated the University Neighborhood Partners Program to have an ongoing physical presence in an area of Salt Lake City that contains large ethnic minority populations, primarily Hispanics and Asian-Americans. In 2004-05, the University created the position of associate dean of Undergraduate Studies for outreach with the charge to draw more of the academic community into a University-wide partnership to recruit first generation students in coordination with Academic Outreach and Continuing Education, Student Affairs, and University Neighborhood Partners, and to support efforts to enhance the retention of first-year and transfer students admitted to the University. In 2004-05, the University Diversity Committee became an official committee of the Academic Senate. It submitted a wide-ranging report on minority issues in the fall of 2005; in part, the 2005 report was a follow-up to a comparable report in 1999, including an assessment of what had happened to each of the 14 recommendations made in the earlier report (see Appendix 1.16).

- We systematically monitor conditions in Utah's health sciences workforce and respond as needed. One means of coordinating and sponsoring those responses is the Office of Diversity and Community Outreach in the Office of the Senior Vice President for Health Sciences, which conducts a variety of programs whose goals are threefold: (1) to expose students of all ages to health profession careers--especially medicine, (2) to facilitate the academic preparation of diverse and disadvantaged students interested in health professions, and (3) to offer medical students opportunities to work with various Utah communities as part of their medical education experience (see *http://uuhsc.utah.edu/som/diversity/index.html*).

- We look for ways to provide additional opportunities within our curriculum for students to assemble a usable set of skills. For example, we have added a number of certificate programs, such as arts technology for undergraduates and demography at the graduate level that students can use to augment their regular academic majors with skills that are designed to increase their marketability. Several years ago, using start-up funds from the Sloan Foundation, we developed a master's degree in science and technology program specifically geared to prepare graduate students in the sciences for work in industry. That program has grown to 30 students and is now funded internally.

- We are in the process of expanding the University Writing Program again. Several years ago we added a writing center. Now we are adding additional course sections at the upper-division level. These efforts, and the additional resources they require, have been based on an assessment both of what students are learning and what peer institutions are doing in this area.

- In the health sciences, the data developed through implementing mission based management has allowed us to allocate funds to departments according to educational effort, and more generally to make resource allocation decisions with a full understanding of cross-mission subsidies (e.g., revenues from clinical activities supporting instruction). Mission based management data support various planning related initiatives such as strengthening research in clinical departments and developing a tenured faculty financial commitment policy.
- Several years ago the Office of the Senior Vice President for Academic Affairs established a task force to examine how transfer students were fairing at the University. The task force examined a variety of data on transfer, including satisfaction surveys and data on progression, and concluded that the University needed to focus more attention on transfer student progress. As a result we now have a transfer center that provides focused advising services to transfer students and a Transfer Advocacy Council that looks out for their welfare.
- The SMART goals process can result in resource allocation decisions. For example, several years ago the College of Education used this annual planning process to garner central administrative support for a program in instructional technology. The college was able to secure the start-up funds and then ongoing financial support through the University's credit-hour-based budget paradigm.
- All student affairs offices report annually on their activities. Increasingly, these reports contain assessment-driven information. Over the past couple of years, the assessment effort in the student affairs has been strengthened by the addition of a full-time director of assessment, evaluation, and research.

  Assessment efforts in student affairs are discussed in detail under Standard 3.

1.B.5 The institution integrates its evaluation and planning processes to identify institutional priorities for improvement.

The University's record in integrating evaluation and planning processes to identify priorities for improvement is mixed. We have done better at the level of large groups of kindred units than at the level of the University as a whole. Groups of units such as those belonging to student affairs, undergraduate studies, the directors of graduate studies, academic affairs administration, the health sciences (through mission based management), various collections of administrative units, and the libraries, operate in an integrated fashion. They meet together, share data, and share plans. In some cases, these groups of units have their own assessment specialists. This is true for student affairs (Diane Wayras), undergraduate studies (Mark St. Andre), and The Graduate School (Frederick Rhodewalt).

The identification of priority issues that cut across the University has been more of a challenge, although we are doing reasonably well in some areas. For example, we have a systematic, far reaching planning and evaluation process with respect to information technology (see Appendix 1.10). Major developments such as the student portal, the extension of wireless availability across the campus, and various improvements in network security have come about because of systematic planning and evaluation activities directed by the Associate Vice President for Information Technology and the Information Technology Council.

Similarly, we have a thorough, systematic approach to analyzing and prioritizing capital needs. This process involves analysis by technical staff, reviews by a team of associate vice presidents from across the campus, and then a final review by the senior vice presidents and the University President. Buildings move from a "wish list" to a 5-year plan to a 1-year plan, depending on priorities and prospects for funding. All of this occurs within the framework of the long range development plan for further developing the University's physical facilities, a framework that is periodically reviewed and updated (see Standard 8, Section C.1).

The accrediting reviewer in our last 5-year visit concluded that the University lacked a systematic approach to evaluation and priority setting with respect to student outcomes. We were asked to develop a plan to address this problem, which we completed in the fall of 2004 (see Appendix 1.17). This plan is helping us integrate our efforts in this vital arena by (a) bringing together key individuals who are doing assessment, (b) systematically directing assessment results to individuals and groups who make decisions, and (c) systematically focusing assessment on the University's stated values and goals. It specifies working group and steering committee structures, identifies the major nodes (student progression, student learning, and student engagement) around which to organize our assessment efforts, and maintains an inventory of assessment activities that are being undertaken by administrative and academic units. We also attended to student issues in our most recent strategic planning effort (2004-05), specifically with regard to intended improvements in student engagement and timely progression to a degree. As we follow through on these initiatives, we will achieve a considerable degree of integration with respect to assessing student outcomes.

Two groups that play an informal, nonsystematic, yet important role in the integration of planning and evaluation are the Student Commission and the Faculty Budget and Planning Advisory Committee. The Student Commission, which began in fall 1998, plays the role of an ombudsman for student issues. Various individuals who worked on the complex task of changing the calendar from quarters to semesters felt that the University was well served by the integrated committees that brought together faculty, staff, and students to address practical issues. The Student Commission was created to continue that effort, with a focus on student concerns. Originally chaired by the dean of Undergraduate Studies, then by the president of the Academic Senate, and most recently by the vice president of the Associated Students of the University of Utah, the Student Commission typically meets several times during an academic term. It has dealt with a variety of issues over the years that could adversely or positively affect the student experience at the University (see Appendix 1.18). As this report was being prepared, the issues of the day were student health insurance and making it easier for students to find departmental scholarship opportunities. The Student Commission facilitates student contact with administrators (associate vice presidents, directors, evaluation specialists) and faculty leaders.

The Faculty Budget and Planning Advisory Committee is appointed by and reports to the academic senate. It varies in its effectiveness from year to year, but by working closely with the Associate Vice President for Budget and Planning, and on occasion with the Senior Vice President for Academic Affairs, it has good access to, and can influence, the University's thinking and strategizing on various budget and planning issues. Two years ago the committee focused on making financial information more readily available to faculty (see the Budget and Finance section in *http://www.obia.utah.edu.*). Last year, its focus was on the University strategic plan. The committee provided the most detailed response to drafts of the plan of any review group, and influenced the plan accordingly. So far during the current year, the committee has been reviewing our legislative agenda and the manner in which aspects of the strategic plan are being implemented.

Another area in which we have been working to develop a somewhat more integrated approach is in financial planning. A great deal of financial planning goes on in different units and groups of units across the campus. Less than 20% of our revenue comes from the combination of state appropriations plus tuition. Eight other sources of revenue, each of which is managed separately at least to some extent, generate at least $10 million of income per year (see Standard 7). A decentralized approach is appropriate for much of our financial planning, but we believe that we can be more effective in coordinating various financial plans at the highest administrative levels. We have the most experience of doing this successfully with respect to the funds we need to address capital needs. We build most of our buildings with nonstate money. On occasion, particularly these days when the cost of materials can escalate rapidly during the construction process, we frequently find it necessary to complete a funding package with funds derived from operating surpluses or other unallocated discretionary funds such as a portion of the income coming from cash management, reimbursed research overhead, or the University Research Foundation. Thus, some degree of integrated planning across these revenue sources is unavoidable. Recently we have taken pains to gather and centralize data showing the immediate past along with prospects and plans for the various internal funding sources (see Standard 7). This activity has been helpful as we attend not only to capital needs, but also to alternative ways of supporting our private fund raising activities, building reserves, and developing resources for various other opportunities that may come along (see Standard 7, Section 7.A.2).

Since the early 1990s we have been providing the legislature with a variety of performance indicators (see Appendices 1.1 and 1.2). Although most of those indicators have been of some interest to us, it is fair to say that we have viewed this reporting as more of a matter of compliance than as something integral to our planning and evaluation activities. In the summer of 2005, at the request of President Young, we embarked on developing and monitoring a more wide-ranging set of performance indicators tied to strategic goals (see Appendix 1.19). As we prepare this report, we still have some work to do to determine the best way to use these indicators (or "balanced scorecard") to further the cause of integrating planning and evaluation as the basis for targeted improvements, but we believe this initiative will be worthwhile.

1.B.6 The institution provides the necessary resources for effective evaluation and planning processes.

The University supports an Office of Budget and Institutional Analysis, comprised of four full-time and two part-time staff. The Office of Undergraduate Studies employees a full-time assessment specialist, as does the Office of Student Affairs. The Graduate School has an associate dean whose primary role is to coordinate and provide the resources for the annual academic program review process. The health sciences have an individual whose primary job is to coordinate the mission based management component of evaluation and planning. In addition, the University has an Associate Vice President for Budget and Planning, whose role is to help coordinate evaluation processes and several major planning efforts. The University supports an online course and instructor evaluation program involving virtually all courses, faculty, and students. All of these positions and activities were fully protected during the budget cuts imposed by the legislature in 2002-03 and 2003-04.

1.B.7 The institution's research is integrated with and supportive of institutional evaluation and planning.

Institutional research at the University, now housed in the Office of Budget and Institutional Analysis, was first constituted in the 1960s. It has a major role in reporting to outside constituencies including agencies of the federal and state governments and numerous private concerns that seek information about activities at the University. Equally important is its commitment to assist the institution in assessing its effectiveness and performance by "transforming institutional data into information supporting institutional planning, management, and improvement." This effort leads to integrated scorecards that facilitate informed, data-driven decision-making, identification and communication of best practices, as well as evaluation of institutional effectiveness.

The institutional analysis director is both a catalyst for and coordinator of evaluation activities. It is a responsibility of the position to develop information that supports evaluation and planning activities across the campus. The director also helps coordinate evaluation activities by working with colleagues in undergraduate studies, The Graduate School, and student affairs who have specific evaluation duties. The director played a key role in the development of the University's student outcomes assessment plan and continues to play a central role as that plan is implemented.

Institutional analysis is charged with supporting central evaluation and planning activities and enabling those activities in academic and student affairs units across campus. Examples of the former include monitoring retention and graduation rates, undertaking ad hoc studies of transfer student success and the predictive power of our admissions index for new first-time students, the analysis of course and instructor evaluations, and the development and maintenance of institutional performance indicators. Examples of the latter include the construction and maintenance of an evaluation procedures inventory for academic departments, provision of data for program reviews conducted through The Graduate School, and the development of departmental profiles on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu*).

Other institutional analysis developments serve both central and unit-level needs with a common instrument. A good example is the survey data base/query facility on the institutional analysis Website wherein central or unit-level administrators (or other staff, faculty, or students) can quickly determine whether a particular issue has been addressed in recent surveys on campus and, if so, what the responses were (from various groups or various times depending on the issue). Another example is the construction of a tool for analyzing progression by student subtypes (also available through the Web). This tool can be used to address both University-wide and more focused questions (for instance, the progression of all undergraduates who started in a particular year versus the subset of such students who were enrolled in the LEAP Program or in a particular major). Student progression is a focal point for our outcomes assessment activities.

The Office of Budget and Institutional Analysis is currently developing a secure access faculty profile datamart (slated to go live internally during 2006). This secure login Web tool will permit specified decision-makers (e.g., chairs, deans, vice presidents) and faculty to view an integrated collection of indices. The list of performance indicators in the faculty profile include a 3- to 5-year history of an individual faculty member's: (a) courses taught, (b) course evaluations, (c) student credit hours generated, (d) salary, (e) employment and promotion history at the University, and (f) educational history. Future plans include adding grant submission and award histories and other similar performance measures.

1.B.8 The institution systematically reviews its institutional research efforts, its evaluation processes, and its planning activities to document their effectiveness.

Institutional analysis annually handles approximately 100 ad hoc requests submitted using an online information request form, and another approximately 75 ad hoc requests submitted in person and/or by phone. Information requests are submitted by decision-makers from various administrative and academic levels from within the institution as well as from the general public (e.g., the local media). These submissions attest to the use of institutional analysis generated reports by decision makers campuswide.

The institutional analysis Website now records about 2,000 hits a month. The number has been gradually increasing. This trend is expected to continue. If data needs can be met through the Website, institutional analysis staff will have more time to pursue investigative studies that can inform policy choices.

Because the bulk of institutional analysis efforts have gone into Website development, only a modest number of special studies have been conducted recently. Nonetheless, such studies have had an impact. For example, analysis of factors related to transfer student success helped influence the decision to create a transfer center, and analysis of the relationship of admission index scores to student success has helped the University frame its decision to raise the minimum index score.

The Office of Budget and Institutional Analysis maintains a detailed task list and a long-term survey schedule (students and alumni). This permits the institutional analysis director and the Associate Vice President for Budget and Planning to assess the allocation of time and effort in an appropriate manner to best serve University needs.

Developing a comprehensive student outcomes assessment plan has helped us see the evaluation gaps in that important arena. One immediate result was the adoption of a greater focus on student outcomes in our standard program reviews coordinated by The Graduate School, a key component of our evaluation strategy. We devoted a meeting of academic department chairs to share best evaluation practices in the hopes of widening the use and enhancing the quality of program-based student outcomes assessment. We will continue to maintain the inventory of program-based outcomes assessment practices and make it publicly available on the institutional analysis Website.

The Division of Student Affairs conducts a comprehensive set of evaluation activities each year. The Division of Student Affairs and Office of Undergraduate Studies employ evaluation specialists and both undertake annual reviews of their evaluation and assessment activities.

The Senior Vice President for Academic Affairs periodically reviews the efficacy of the SMART goals process with the deans, but the review has not been systematic. Beginning in the fall of 2005, we incorporated a review of planning activities, both of the SMART goals process and the most recent strategic planning process, in our SMART goals visits to the colleges. The results of this exercise suggest that the process is working as expected and should be continued in its current format. From the perspective of the Senior Vice President for Academic Affairs and his central administrative team, one of the consistent benefits of the process is communication, the ability to take the pulse of the leadership in each of the colleges in a particular manner. We note also that in the early years colleges frequently used the SMART goals sessions as opportunities to express their wish lists to the central administration rather than to describe what they were going to do on their own. There is still a little of that, but only in isolated instances.

Mission based management activities in the health sciences are reviewed regularly. Among other benefits, a list of accomplishments is assembled annually (see Appendix 1.8).

1.B.9 The institution uses information from its planning and evaluation processes to communicate evidence of institutional effectiveness to its public.

Performance indicator scores have been shared with the Board of Regents, and thereby with the press, on a biennial basis since the mid 1990s. In the fall of 2004, we submitted a more extensive list of indicators to the legislature, which became part of the public dialogue on higher education during the 2005 legislative session (Appendix 1.2). We were asked to submit a related but somewhat different set of indicators in the fall of 2005 (Appendix 1.2). Several years ago we started a budget and institutional analysis Website (*http://www.obia.utah.edu*) which has continually been expanded since then. It contains a wide variety of data and information, some of which provide evidence of institutional effectiveness either directly or indirectly. Relevant data sets include: 1) the common data set, a large collection of data elements ranging from enrollment to retention and graduation rates to composition and qualifications of the faculty; 2) the University's official statistical summaries, which contain performance measures such as numbers of graduates, average grade point averages by class level, and percent of enrollment for various ethnic minorities; 3) financial information on the University in comparison with peer institutions and on departments and colleges within the University over time; and 4) department profiles (5-year histories showing various output measures and student course evaluation results). This Website is open to the public. Certain of our public relations publications contain performance data; for example, our annual report on research efforts contains data on patents awarded. The Office of the Commissioner of Higher Education in Utah publishes an annual data book that contains an extensive amount of data about the University in juxtaposition to other colleges and universities in Utah and elsewhere in the nation (see Utah System of Higher Education Website at *http://www.utahsbr.edu/finance.htm*.).

The Office of Budget and Institutional Analysis serves as the official information source about the University of Utah for internal and external entities. Annually, the Office of Budget and Institutional Analysis generates many reports, including (a) the various U.S. Department of Education Integrated Post Secondary Education Data Surveys, (b) student enrollment reports, staffing reports, and an extensive variety of financial reports for the Utah State Board of Regents, (c) a variety of reports and data displays for the public and general University community (e.g., the annual statistical summary) and for many additional public and private external entities, including *U.S. News and World Report, Barron's, Hobbson's, Princeton Review*, National Science Foundation-National Institute of Health, American Association of University Professors (faculty salaries), Oklahoma State (faculty salaries by discipline), Alabama (administrator salaries), Delaware (departmental productivity and cost study), and Oklahoma (student retention).

Summary

Commendations

The University has several accomplishments that deserve recognition. These include:

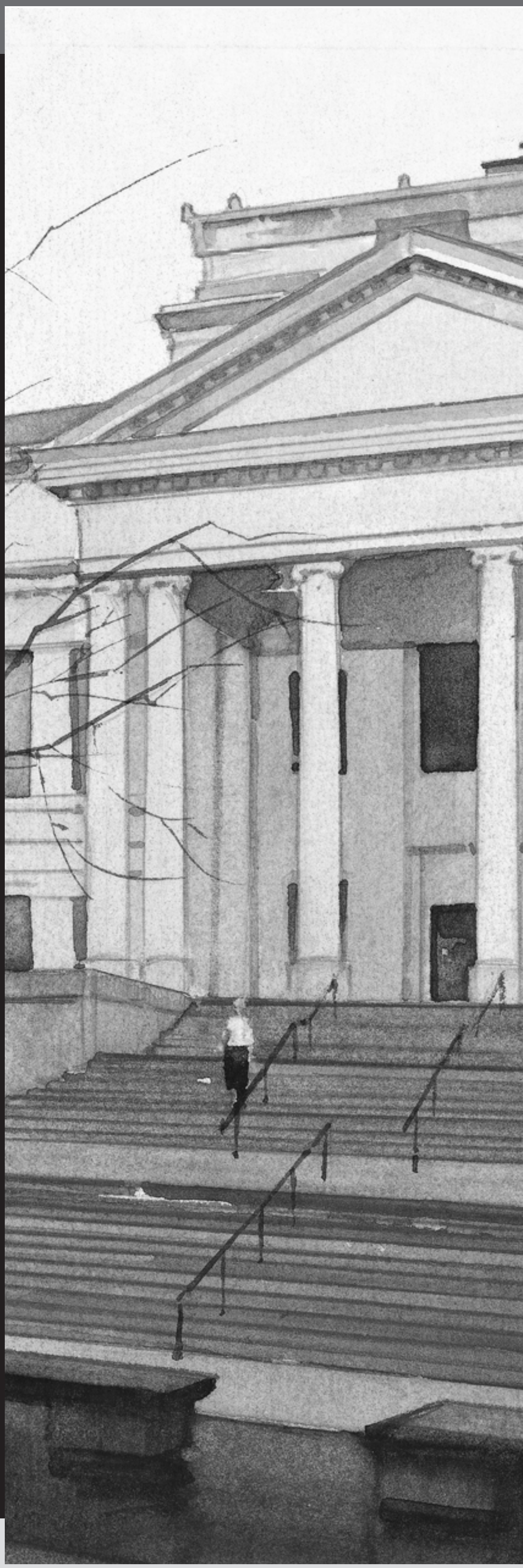
- Planning as a process is widespread. Established, mature planning processes are in place.
- Strategic plans are tied to the institution's mission, in many cases quite explicitly and in other cases implicitly. In no instances do plans conflict with mission.
- Plans are driving resource allocations at the margin.
- The volume of assessment data is substantial and continues to grow.
- The provision of assessment data is improving. For example, our Website for centrally developed assessment compares favorably with the best such sites across the country, and it continues to improve.

- The number of professionals involved in assessment has increased. The University now has them not just in the Office of Budget and Institutional Analysis, but in the Office of Undergraduate Studies and Division of Student Affairs as well. Resources devoted to assessment are adequate.
- A student outcomes assessment plan has been developed and is being implemented.

Challenges

- The advent of the USTAR program, an effort to explicitly shape research programs around the probability of eventual technology transfer, entails a level of strategic thinking, analysis, and selection that the University has not had needed in the past. The situation is exacerbated by federal budget problems that will make research funding more difficult to secure for the foreseeable future, and it is complicated by the interdisciplinary nature of this program. Interdisciplinary research is not new to the University, but the extent of interdisciplinary planning required exceeds the level familiar to most of our deans and investigators. Led by the Vice President for Research and the two senior vice presidents, initial steps have been taken to create a focused planning process around the USTAR. That process will need to be connected over time to our ongoing annual planning processes as well as to the occasional University-wide strategic planning efforts.
- Strategic initiatives to foster increased interdisciplinary teaching and research (including but not limited to the USTAR initiative) and to foster international activities on the part of our students and faculty have demonstrated a weakness in our data systems. Currently those systems do not support the rapid and comprehensive ability to find and connect faculty--with particular interests--to one another and to outside groups and opportunities. We need to fix that. The deans and vice presidents met recently and decided to commit the resources to build a Web-based, searchable faculty database that will address this issue.
- The University has made progress in integrating and coordinating assessment activities across campus, but two areas need further attention. First, better control needs to be established over student surveys, along several dimensions. For example, it is quite possible that students are being surveyed too frequently, which, if true, would threaten both data integrity and response rates. Starting in the summer of 2006, we will begin building a structure to better regularize the survey process (scheduling, submissions to the Institutional Review Board, access to email addresses, elimination of redundancy). Second, during 2005-06 several new assessment or assessment related entities were put in place including a task force on retention and graduation rates, a supervisory group on student assessment, and a working group on student assessment. One group with broad responsibilities should suffice to connect, give direction to, and marshal resources for assessment activities across academic and student lines. We intend to conduct a retreat during the summer of 2006 to review the situation in detail, look at practices elsewhere, and establish a new coordinating and catalytic entity that would take the place of our three current groups.

STANDARD 2
EDUCATIONAL PROGRAM AND ITS EFFECTIVENESS



TOGETHER WE REACH.

STANDARD 2.A – GENERAL REQUIREMENTS

This section describes and evaluates the resources that support the University of Utah's educational programs. It reviews program assessment activities that are being carried out and discusses both undergraduate and graduate programs along with continuing education efforts. The last portion of the section describes each academic college at the University.

2.A.1 The institution demonstrates its commitment to high standards of teaching and learning by providing sufficient human, physical, and financial resources to support its educational programs and to facilitate student achievement of program objectives whenever and however they are offered.

The array of resources developed by the University of Utah to support its teaching and learning activities is considerable and in keeping with our mission as a research-extensive institution. These resources include a physical plant, faculty, staff, administration resources, and fiscal assets. As noted earlier, the University employs a tenured/tenure-track faculty of 1,390, augmented by 613 other full-time faculty with significant teaching responsibilities. This is in addition to several hundred part-time faculty providing clinical and other specialized educational services. The outcome of faculty resources is a 15 to 1 full-time equivalent (FTE) student to FTE faculty ratio (based on 17,664 students and 1,201 faculty at the undergraduate level). Staff resources include approximately 10,000 individuals (excluding students and hospital staff) who provide services within academic departments and programs and serve in a variety of support activities.

The workload of faculty at the University varies considerably from unit to unit because of the differences in departmental mores and production technologies. In addition, Board of Regents' policy partially determines the minimum faculty workload at the University. For example, at research universities such as the University of Utah, the workload is "*18 credit hour equivalents each year, or 9 credits each semester. Recognizing the diverse mix of teaching assignments that require differing levels of preparation, it is expected that faculty contact hours in credit-bearing teaching activities shall average approximately 10 hours per week.*" A more thorough review of faculty is provided under Standard 4.

Physical resources are substantial. The University covers about 1,500 acres with an inventory of over 300 buildings, most of which are located within the main campus area. These buildings contain classrooms, laboratories, auditoriums, offices, and student meeting rooms. Buildings not located on the main campus include educational sites in Murray, Bountiful, Park City, and Sandy in addition to medical services facilities operated by the University Health Service. In addition, the University maintains the following:

- 3 major libraries
- 4 residence hall complexes plus special historic housing facilities for living/learning communities
- 1,115 apartments for married students
- 3 television stations and 1 radio broadcast station
- 1 football stadium seating over 45,000
- 1 basketball/special events arena with 15,000 seats
- 2 major museums
- 2 bookstores
- 8 major dining facilities
- 1 hospital licensed for 457 beds plus a cancer institute and psychiatric institute
- 24 outpatient clinics and 1 outpatient surgical center
- 1 professional theater
- 2 major modern performance facilities
- 1 nine-hole golf course
- 1 natatorium
- 1 tennis center
- 1 University press
- 1 arboretum
- 1 research park

New buildings either erected within the last year or currently under construction include the Moran Eye Center II, Warnock Engineering Building, Health Sciences Education Building, the Emma Eccles Jones Nursing Research Building, Humanities Building, the Orthopedic Surgery Center, and an addition and seismic safety changes for the Marriott Library.

Buildings planned for construction in the next 3 years include the Goodwill Humanitarian Building and the Utah Museum of Natural History. A fuller description of the University's physical resources is located in Standard 8.

Although fiscal resources are never as plentiful as one might wish, the University has funds that are both sufficient and stable enough to allow us to meet our obligations to an expanding range of educational programs. A discussion of these resources is in Standard 4.

2.A.2 The goals of the institution's educational programs, whenever and however offered, including instructional policies, methods, and delivery systems, are compatible with the institution's mission. They are developed,

approved, and periodically evaluated under established institutional policies and procedures through a clearly defined process.

All of the University's educational programs evolve through a process that ensures compatibility with the institutional mission. New courses are approved by individual departments, then by the respective colleges, and finally by graduate or undergraduate curriculum committees. New programs are subjected to additional levels of review including approval by the cognizant vice president, Academic Senate, Board of Trustees, and Board of Regents. Programs are reviewed to ensure they are consistent with and further the University's mission as is required by Board of Regents' policy.

Evaluation of existing courses occurs through different mechanisms depending on the course. For example, general education and degree requirement courses are regularly reviewed by appropriate University committees to determine whether they continue to meet the criteria for inclusion in the list of approved courses. A list of the committees and their responsibilities can be found at *http://www.ugs.utah.edu/general/committees.html*. One significant change that has occurred in the past 10 years is the beginning efforts to assess the knowledge of students in the general education areas of American institutions and math.

Courses that are not part of general education or degree requirements are reviewed within individual programs or departments on a more varied schedule. For example, almost all academic programs in the University are examined through the Graduate Council program review process, coordinated by The Graduate School. Programs that offer only undergraduate degrees are reviewed by the Undergraduate Council. The review process requires programs to evaluate their curriculum and requires an independent outside group to conduct a similar assessment. The institutional requirement that programs demonstrate their outcomes assessment may be seen in the *University of Utah*

Closing the Loop: Foreign Language Instruction

The Department of Languages and Literature has administered a three-part proficiency test to all students in their fourth semester of foreign language study (2020) since spring 2002. The three-part instrument assesses students' ability to speak the foreign language by means of an oral, computer-based test. In the written portion of the test, students have had greater difficulty than expected with composing a coherent piece of writing. This was attributed to the greater variation in content and pedagogy in the second year classes compared to first year. The specific format of the writing test may not reflect the way in which students learn to write across the many language courses in the department. Furthermore, the writing presents a greater challenge in some languages, for example Russian and Chinese, than in others such as Spanish or German. The department responded by adapting the grading rubrics to reflect the variation in writing ability across different languages. The writing test has also given evidence that instructors need more specific guidance in teaching writing in a foreign language. Instructors have been provided with materials to engage students in the fourth semester courses in writing activities that more closely correspond not only to our assessment instrument but also, more importantly, to current pedagogical practices.

Graduate Council Program Reviews: Description and Procedures manual, Section 5:

5. Program Effectiveness — Outcomes Assessment

Each educational unit has an obligation to plan carefully its courses of instruction in response to student needs, to evaluate the effectiveness of that educational program in terms of the change it brings about in students, and to make improvements in the program dictated by the evaluative process.

5.1 Outcomes Assessment Procedures

List and describe the unit's processes for assessing its educational programs. The list may include, but is not restricted to, the use of outcomes measures in the following areas: (a) student information (recruitment, quality of students, retention, graduation rates, gender and ethnicity blend) and trends over time, (b) mid-program assessments, (c) end of program assessment (standard exam, capstone experience), (d) alumni satisfaction and loyalty, and (e) employment and/or employer satisfaction measures.

5.2 Outcomes Assessment Feedback

Provide specific examples of how the assessment activities have been used to improve teaching and learning in the unit. Of particular interest would be descriptions of the entire assessment feedback loop: identification and publication of expected learning outcomes, assessment measures, analysis, and interventions arising from the analysis that lead to an improvement in the program.

5.3 Degree Completion Data

Using the form on p. 13, provide data indicating graduate degree completion/attrition data.

A more detailed list of the steps in this process appears at *http://www.utah.edu/gradschool/forms/reviews.pdf*. The self-studies that departments prepare for this assessment, combined with the Graduate Council review itself, often result in curriculum changes. For example, the most recent review of the College of Social Work resulted in changes to the Ph.D. curriculum. The need for those changes was recognized in the Graduate Council review and produced specific changes in the Ph.D. research curriculum.

In addition, a careful curriculum review is part of the specialized accreditation process for 30-plus programs on campus. The self-study and subsequent external evaluation typically lead to changes in programs and curricula. Once the need for new courses and/or significant revisions of existing courses has been identified, colleges then follow the University's guidelines for such changes.

2.A.3 Degree and certificate programs demonstrate a coherent design; are characterized by appropriate breadth, depth, sequencing of courses, synthesis of learning, and the assessment of learning outcomes; and require the use of library and other information sources.

As described above, all degree and certificate programs must be approved before implementation. To be approved, the proposing department or college must follow a carefully described review process that begins at the program level and ends with approval from the Board of Regents. That multilevel review process helps ensure that each degree has satisfactory depth and breadth and an appropriate sequence of courses. In addition, under University policy, all programs must provide for an assessment of learning outcomes. Results of such assessments are a required component of the Graduate Council reviews, as well as reviews by the specialized accreditation bodies. As new programs are developed, there is a focused review of library resources to determine whether they are sufficient to support the proposed offering. Details about the steps in approval of such programs can be viewed at *http://www.utahsbr.edu/policy/r401.htm.*

2.A.4 The institution uses degree designators consistent with program content. In each field of study or technical program, degree objectives are clearly defined: the content to be covered, the intellectual skills, the creative capabilities, and the methods of inquiry to be acquired; and, if applicable, the specific career-preparation competencies to be mastered.

The process of developing a new degree is specified by Board of Regents' policy. Degrees are designed based upon common definitions that are consistent with program content. For example, the Bachelor of Social Work (B.S.W.) degree approved by the Board of Regents in 2001 was consistent with the practice in similar Council on Social Work Education accredited programs. As with all new degrees, program objectives, curriculum, and competencies expected of graduates were clearly specified and derived from both national standards and accreditation body regulations.

2.A.5 The institution provides evidence that students enrolled in programs offered in concentrated or abbreviated timeframes demonstrate mastery of program goals and course objectives.

All programs that are offered in concentrated or abbreviated timeframes must ensure that students master the same program goals and objectives as students in traditional programs. Evaluation of such programs takes place within the Graduate Council review. Departments typically conduct comparison studies of such offerings to determine the degree of comparability among programs offered in different timeframes.

2.A.6 The institution is able to equate its learning experiences with semester or quarter credit hours using practices common to institutions of higher education, to justify the lengths of its programs in comparison to similar programs found in regionally accredited institutions of higher education, and to justify any program-specific tuition in terms of program costs, program length, and program objectives.

The University of Utah operates on a semester-based calendar with 16-week terms in the fall and spring. A semester consists of 72 calendar instruction days. Summer sessions begin around the middle of May and end the first week in August. The schedules followed by the University are consistent with practices in most other higher education institutions.

Credits assigned to learning experiences are directly related to the length of courses. For example, a typical three-credit course requires 45 fifty-minute classroom learning experiences. In laboratories, it is expected that at least 2 to 3 hours are spent in class and approximately the same amount outside for each credit hour awarded. These standards, which appear in the University's *Policies and Procedures Manual*, are all based on a report of the American Council on Education adopted September 27, 1983 by the American Council on Education and November 1, 1983 by the Board of Directors, National University Continuing Education Association.

Tuition costs are similar for all undergraduate programs at the University of Utah except for a higher differential tuition for upper-division courses in the David Eccles School of Business. At the graduate level, some colleges charge additional tuition to cover costs above and beyond those of other academic disciplines. These requests to charge differential tuition must be approved by the University of Utah Board of Trustees and State Board of Regents. As is common for some specialized courses, additional fees may be assessed for extraordinary cost items. An example is the special fee for some chemistry and fine arts classes. When a college wishes to charge additional fees, that request must be approved by the University Special Fee Review Committee.

2.A.7 Responsibility for design, approval, and implementation of the curriculum is vested in designated institutional bodies with clearly established channels of communication and control. The faculty has a major role and responsibility in the design, integrity, and implementation of the curriculum.

Board of Regents and University of Utah policies place primary responsibility for design, approval, and implementation of the curriculum with the faculty. Curriculum decisions emanate from departments or programs, are approved by the college, and then go to the appropriate undergraduate or graduate council for final approval. Curriculum disputes involving more than one department may be reviewed by the Curriculum Review Board.

As indicated in the *Faculty Handbook, "the faculty has a recognized right to a meaningful role in the governance of the University, including a right to participate in decisions relating to general academic operations and related administrative decisions. Under University regulations, the faculty has the authority, subject to approval by the Board of Trustees and the Board of Regents, to legislate on matters of educational policy, to enact rules and regulations necessary to promote or enforce such policies, and to decide upon curricula and new courses of study. Normally this authority is exercised through the Academic Senate." [refer to Policies and Procedures Manual 9-2.3].*

2.A.8 Faculty, in partnership with library and information resources personnel, ensure that the use of library and information resources is integrated into the learning process.

The faculty has primary responsibility for designing instructional and learning processes for their courses. Each college has a library liaison, and the library assigns specific individuals to work with each college. Librarians work with individual departments regarding purchase of books and journals needed for classes and provide individualized and college-specific training for new and/or returning students. A full description of the academic support services provided by the library appears in Standard 5.

2.A.9 The institution's curriculum (programs and courses) is planned both for optimal learning and accessible scheduling.

Course scheduling is under the purview of the Office of University Scheduling. When departments and colleges identify courses for forthcoming semesters they generally must conform with a set schedule of times that has been designed to facilitate student accessibility and efficient use of physical resources. The schedule of times helps ensure that students are not precluded from taking course A because course B has been scheduled so as to overlap course A's timeframe. This schedule of times is especially helpful for undergraduates and during prime instructional hours. Faculty can request approval for changes in the schedule, but the learning needs of the student receive the highest priority. Greater flexibility in course schedule is given to graduate programs.

From time to time, courses and programs are offered in special time slots (e.g., weekend classes) or by other delivery methods (e.g., distance education) to meet the needs of nontraditional learners. These arrangements typically are employed when students cannot access regularly scheduled classes.

2.A.10 Credit for prior experiential learning is awarded only in accordance with Policy 2.3 Credit for Prior Experiential Learning.

Credit for prior experiential learning is not given at the University of Utah. Students can, with approval of a department chair and director of admissions, challenge a course for credit. This involves the student taking a final examination in the identified course. If the student succeeds in passing the examination, a grade of credit/no credit is entered on the transcript. There are severe limitations on the circumstances under which a course challenge can be mounted successfully.

2.A.11 Policies, regulations, and procedures for additions and deletions of courses or programs are systematically and periodically reviewed.

Additions and deletions of courses and programs are governed by policies adopted by the Academic Senate. Courses and programs are approved initially through the procedures discussed under 2.A.2 above. Once created, courses and programs are reviewed regularly as described under Standard 1.B.4 and 2.A.2. For example, reviews of general education and bachelor degree courses conducted by faculty committees resulted in changes to, or elimination of, almost 60 courses.

In addition, over the past few years various majors have been discontinued. These include the consumer studies and family economics major and the environment and behavior major offered within the Department of Family and Consumer Studies. Also eliminated were the teaching majors in anthropology, economics, political science, psychology, and sociology previously offered within the College of Social and Behavioral Science.

Major revisions to existing courses and programs have occurred in the Department of Family and Consumer Studies, the Gender Studies Program, the Department of Geology and Geophysics, and both the master's and doctoral degrees in the College of Social Work, to name just a few.

2.A.12 In the event of program elimination or significant change in requirements, institutional policy requires appropriate arrangements to be made for enrolled students to complete their program in a timely manner and with a minimum of disruption.

Discontinuance of a program must be approved in advance by the State Board of Regents. The board has established a policy that covers students in such programs: *"5.2.2.1. Student Completion - Students currently admitted to the program must be provided a way to complete the program in a reasonable period compatible with accreditation standards. This may require the enrollment of students at other institutions of higher education or that courses be taught for a maximum of two years after discontinuation of the program."* Similarly, when significant changes occur in a program, students are given several options, which may include completing the old program, moving to a related major, or selecting an entirely different program. Every effort is made to ensure that students will not be harmed by the changes.

As noted in both Standards 4 and 8, the University has, for the most part, been able to support its educational mission in a satisfactory manner. Shortcomings in physical resources such as classrooms with inadequate seating, inappropriate lighting, and similar limitations are being addressed in both the short- and long-term. Almost five dozen new classrooms are planned over the next few years. Regular remodeling of classrooms occurs along with yearly improvements in extant buildings.

Surveys of undergraduate students and faculty identify relatively high levels of satisfaction with office space and library facilities. Graduate students, however, have lower levels of satisfaction with space and physical resources in their respective programs.

Human resources in the form of University faculty and staff appear adequate to the task of delivering the wide array of majors, minors, and programs offered on campus. The student-faculty ratio is lower than in many other larger public institutions and student satisfaction with classes and instructors is generally positive. Faculty typically are expected to engage in teaching, scholarship, and public service. Despite the potential of these split responsibilities, students typically give high marks to the faculty in their respective departments.

The University has recognized problem areas affecting student satisfaction such as bottlenecks in classes and unmanageable class loads and has taken steps to eliminate them. We have also added resources to bolster programs that showed clear benefits to students such as the Honors, LEAP, and Writing Programs. Increasing faculty and fiscal resources to address weaknesses discovered as a result of our assessment activities helps demonstrate that the University is committed to employing its resources to meet its mission. This is not always an easy task, but it is one that the University values and supports.

The University has made great strides in assessment of student outcomes, but there is still work to be done. The majority of academic programs have created or implemented multiple assessment measures that are used to determine student outcomes. At the same time, a few academic units have done relatively little in designing or utilizing assessment tools relative to their students' achievement. This unevenness is being addressed, and programs are slowly understanding both the importance of such assessment and the availability of appropriate tools. It is anticipated that the remaining units with very limited assessment measures will move in the right direction as they undergo regular internal reviews.

STANDARD 2.B – EDUCATIONAL PROGRAM PLANNING AND ASSESSMENT

2.B.1 The institution's processes for assessing its educational programs are clearly defined, encompass all of its offerings, are conducted on a regular basis, and are integrated into the overall planning and evaluation plan. These processes are consistent with the institution's assessment plan as required by Policy 2.2 Educational Assessment. While key constituents are involved in the process, the faculty have a central role in planning and evaluating the educational programs.

The University engages in an ongoing assessment process addressing all of its offerings and other aspects of its operation. University strategic objectives were identified and discussed in Standard 1 along with the assessment tools in place to determine the degree to which these ends have been met. Several of these strategic objectives focus on the University's educational programs whereas others are devoted to support services and facilities.

The University also gathers student assessments regarding the quality of individual courses through student course evaluations as well as student overall satisfaction. The latter indicates a general degree of satisfaction with classroom instruction, but other comparisons with national data suggest some changes are warranted. This has been addressed under Standard 1.

In addition, each academic program engages in some type of self-assessment. Table 2.1 suggests the wide variety of such processes. This listing is not intended to be exhaustive, but it gives a sense that units are using assessment tools that faculty consider appropriate for the particular program. For example, in many professional programs, licensure of graduates is an important indicator of learning outcomes. The same is true for evaluations of performance provided by students' supervisors during practica, student teaching, and similar experiences. In the arts, assessment measures may range from portfolios to performances or exhibitions whereas more traditional academic disciplines may employ capstone projects, exit examinations, surveys of employers, theses, or dissertations. Measures in use may be formative or summative and focused on direct items such as student learning or on indirect indices such as opinions of graduates and graduating seniors.

Table 2.1: Departmental Student Outcomes Assessment Documentation[1]

Academic Unit / Program	Student Evaluations of Courses and Instructors	Capstone Experience/ Project	Exit or Other Student Survey	Alumni Survey	Employer Survey or Placement Rates	Exit or Licensing Exam	Port-folio	Specialized Accreditation	Internship or Practica Evaluation
Accounting & Information Systems	*	*	*	*	*	*		*	
Anthropology	*		*						
Architecture + Planning	*	*				*	*	*	*
Art & Art History	*	*	*	*			*		
Ballet	*	*	*	*					
Behavioral Science & Health	*	*							*
Bioengineering	*	*	*	*	*				
Biology	*	*	*						*
Chemical Engineering	*	*	*	*	*			*	
Chemistry	*	*	*			*			
Civil & Environmental Engineering	*	*	*	*	*	*		*	
Communication	*	*	*	*				*	
Communication Sciences & Disorders	*		*	*	*	*		*	
School of Computing	*	*	*	*	*			*	
Economics	*		*						
Education, Culture & Society	*		*	*					
Educational Leadership & Policy	*	*	*		*				
Educational Psychology	*		*	*				*	
Electrical & Computer Engineering	*		*	*	*			*	
English	*	*	*						
Environmental Engineering	*		*	*	*			*	
Environmental Studies	*		*	*					
Ethnic Studies	*								
Exercise & Sport Science	*		*						*
Family & Consumer Studies	*		*						
Film Studies	*	*	*				*		
Finance	*	*	*	*	*			*	
Gender Studies	*		*						
Geography	*		*						
Geology & Geophysics	*		*	*					
Health Promotion & Education	*		*		*				
History	*	*	*						
Languages & Literature	*	*							
Law	*				*	*		*	*
Linguistics	*	*							
Management	*	*	*	*	*			*	
Marketing	*	*	*	*	*			*	
Materials Science & Engineering	*	*	*	*				*	
Mathematics	*	*	*			*			
Mechanical Engineering	*		*	*	*			*	
Metallurgical Engineering	*		*	*	*			*	
Meteorology	*				*				
Middle East Studies	*	*	*						
Mining Engineering	*	*	*	*	*	*		*	
Modern Dance	*	*	*						
Music	*	*	*				*	*	
Nursing	*	*	*	*		*		*	*
Nutrition	*		*		*	*		*	
Occupational Therapy	*	*	*	*	*	*		*	*
Parks, Recreation & Tourism	*	*	*		*	*		*	*
Pharmacy	*	*	*			*		*	
Philosophy	*	*	*						
Physical Therapy	*		*	*	*	*		*	*
Physics	*		*	*					
Political Science	*	*							
Psychology	*		*					*	
Public Administration	*		*		*			*	
Social Work	*		*	*	*	*		*	
Sociology	*		*						
Special Education	*			*		*	*	*	*
Teaching & Learning	*		*	*	*	*		*	*
Theatre	*		*				*		
University Writing Program	*						*		

[1] Excludes School of Medicine

As required by Policy 2.2, Educational Assessment, the University of Utah takes seriously its obligation to engage in continual assessment related to its mission. Standard 1.B highlights many of the data sources that are used in the assessment process. One source is information about students who attend the University. Perhaps the most detailed accounting of this information is located at *http://www.obia.utah.edu/*. Data routinely gathered and available at this site include graduation information, retention rates of students,

Closing the Loop: Improving Academic Advising

The University Academic Advising Committee pursued a campuswide evaluation of academic advising in 2005-06. A survey to evaluate needs, satisfaction, and learning outcomes was developed and implemented with assistance from the Office of Budget and Institutional Analysis. The Web survey was administered in November 2005. Among very positive evaluative findings were some areas of concern. These included students wanting more advising related to postgraduation career options and further education options. Another area of concern was a lack of information about resources such as study abroad, and tutoring, and undergraduate research. To help remedy these shortcomings, the University Academic Advising Committee took several steps. First, they shared the survey results with the campus to inform advisors about student interests. Second, they developed a new section for the 2006-07 Undergraduate Bulletin that clarifies the role of the advisor and the student within the process of academic advising. Third, they shared student comments about advisors with the appropriate colleges. They also developed a college-level sort to allow colleges to review data specific to the college. In addition, the committee identified a number of longer range strategies that will be implemented to address survey findings.

distribution of students across academic programs, and degrees awarded.

Assessments may occur at several stages in the academic career of students. Some data are gathered prior to admission, some data are gleaned during student orientation, and other information is compiled during the time students are pursuing their degrees. In addition, some assessments are done immediately prior to or at graduation. Still other assessments occur after the student has graduated and is employed or working toward another degree. The assessment measures in use vary accordingly. A useful introduction to the diverse assessment methods utilized along with links to the specific measurement instruments appears on the Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu/2006Accred/soa/index.php*).

Assessment prior to admission typically includes such measures as national test scores, writing ability, or mathematical competence. It also includes data such as class standing, giving the University and academic programs a sense of how the student compares to other applicants, nationally or within the same institution.

During students' academic programs, assessment may involve pre- and posttesting, special projects, regular course examinations, internships, annual student skills assessments, and other measures designed to help determine whether the student is meeting course and program expectations.

Assessments done at the time of graduation are typically completed at the academic unit level through the use of exit examinations or interviews, focus groups, theses, dissertations, and capstone projects or portfolios. The University also conducts surveys of graduating seniors, graduate students, and those who transferred from another school. These data are routinely available on the institutional analysis Website.

Following graduation, several sources of data are employed. These include surveys of employers, surveys and focus groups of alumni, licensing examination results, alumni/ae success in graduate school, and admission to medical school. These data may be gathered by programs, departments, or colleges as part of their internal reviews. Data may also be sought by the University central administration in order to glean information that cuts across individual units.

Data available from the University's assessment activities include information about which majors graduates originally intended to pursue and the reasons they did not pursue that major. The central administration also collects data on student perceptions on the extent to which a university education prepared them to assess, analyze, and use information; effectively use technology including computers; and improve their written communication skills. The quality of advising received by students is also assessed on a regular basis. A complete list of the kinds of information may be seen at the student datamart Website: *http://www.obia.utah.edu/sdm/*.

In addition, many programs at the University are evaluated by specialized accrediting bodies such as the Council on Social Work Education, American Bar Association, National Architectural Accrediting Board, American Psychological Association, Accreditation Board for Engineering and Technology, and American Council on Graduate Medical Education. External evaluation by these accrediting bodies occurs on a scheduled basis, which varies from organization to organization. Some accrediting bodies evaluate programs on a yearly basis whereas other evaluations occur at 8-year intervals. Evaluations by specialized accrediting bodies include preparation of self-study documents, review by a team of outside evaluators, and a final decision as to the program's status. Most accreditation bodies now routinely require that programs engage in assessment of program outcomes or student learning outcomes. The specialized accreditation process is seen by most programs as arduous and demanding as well as beneficial and a source of significant pride.

Systematic and regular program review is a cornerstone of the University's educational assessment program. The Graduate School through the Graduate Council conducts reviews of all academic departments, single department colleges, and interdisciplinary programs that offer graduate and undergraduate degrees (excluding the School of Medicine) on a 7-year cycle. The Undergraduate Council reviews undergraduate-only programs (e.g., Ethnic Studies and Gender Studies).

Program review at the University of Utah has several associated objectives or goals. (1) For the University, program review helps in long-range planning by providing information about the size and stability or vitality of a program, its faculty resources and student demand, its equipment and space needs, its strengths and weaknesses, and its contribution to the mission of the institution. It helps set goals for the future and ensures that overall academic plans and budget decisions are based on real information and agreed-upon priorities, not vague impressions. (2) For the educational unit, program review provides a mechanism for change and improvement by creating a structured, scheduled opportunity for a program to be examined. The mechanism should be well-reasoned, far-seeing, and as apolitical as possible. (3) From an external point of view, program review provides a mechanism for the University to be accountable to society (state government, funding agencies, donors, taxpayers, and tuition-paying students) for its activities and for the quality of its programs.

Each department completes a self-study with the help of the associate dean of The Graduate School and the booklet titled *University of Utah Graduate Council Program Review: Description and Procedures* (*http://www.utah.edu/grad-school/resources.html*). Self-studies are sent along with supporting data to three external reviewers selected by the associate dean of The Graduate School in consultation with the department and to an internal review team of three University of Utah faculty. The three external reviewers visit the campus to meet with faculty, students, and staff, review supporting documents, and interview department and college administrators. The internal team also reviews documents and visits the academic unit. These reviewers' final reports, the self-study, and chair and dean's responses become data used by a subcommittee of the Graduate Council that writes a draft report that is debated, revised, and approved at a council meeting.

Following the completion of the report, the graduate dean and associate dean, the chair, and the college dean meet with the relevant senior vice president in a review wrap-up to plan a course of action based on the report. A memorandum of understanding for action is prepared following the meeting in which responsibilities and, where possible, timelines are established for actions arising from each recommendation. This memorandum of understanding is forwarded with the report to the Academic Senate, the Board of Trustees, and the Board of Regents.

Both faculty and administrative staff share responsibility for planning and evaluating the educational programs of the University. Faculty have direct responsibility for designing and carrying out assessment of specific academic programs and units. The results of assessments at the unit level typically remain at that level and are shared with others in the context of either program review, specialized accreditation, or both. At the same time, administrative personnel gather information that cuts across all colleges. The University is also the repository for such data as graduation and retention rates and makes this information readily available to anyone with an interest, including faculty, staff, administrative personnel, students, and the general public.

Table 2.1 provides a snapshot of these kinds of ongoing activities conducted by individual academic disciplines.

2.B.2 The institution identifies and publishes the expected learning outcomes for each of its degree and certificate programs. Through regular and systematic assessment, it demonstrates that students who complete their programs, no matter where or how they are offered, have achieved these outcomes.

Learning outcomes and objectives are explicated at two levels, University and program. University learning outcomes are identified for such areas as general education and baccalaureate degree requirements. At the more abstract level, these outcomes are described in the *General Catalog* such as in the statements "*The University's lower-division writing requirement ensures that students develop the rhetorical skills necessary for success in the writing assignments intrinsic in college courses"* and *"Students should acquire the skills necessary to make rational decisions based on real data."* Individual general education courses that are designed to help students develop the needed attributes contain more specific learning outcomes. These are communicated to students via course descriptions and course objectives included in syllabi. At the major level, each academic program identifies broadly and more narrowly what students in their programs will be able to do upon completion. For example, the program description in social psychology states that students will "*develop expertise in such topics as social cognition and the self, environmental psychology, prejudice and stereotyping, self-regulation of motivation, attitudes and persuasion, social neuroscience, group processes and performance, diversity, and positive beliefs and mental and physical health*."

Within some professional programs, learning outcomes are stated as program objectives that students will meet upon completion of all course requirements. For example, among the outcomes the baccalaureate degree in nursing identifies for its graduates are the following:

- Demonstrate attitudes, values, and competencies consistent with the practice of professional nursing.
- Demonstrate intellectual curiosity, critical thinking, and clinical judgment in the planning and provision of client centered health promotion and health care.
- Demonstrate personal commitment to engage in activities that promote life-long learning.

The specific program outcomes are often contained in departmental student handbooks as is the case with the abbreviated list of outcomes from nursing shown above. Other program objectives are listed on the program's Website. An example is the Department of Civil and Environmental Engineering, which cites among its learning outcomes:

- An ability to apply knowledge of mathematics (including differential equations), probability and statistics, and science (to include calculus based physics and general chemistry) to engineering problems.
- An ability to design and conduct experiments, as well as to analyze and interpret data in more than one of the recognized major civil engineering areas.
- An ability to design a sustainable and constructible civil engineering system, component, or process to meet desired needs, and that considers life-cycle-cost issues.
- An ability to function on multidisciplinary teams.

Typically, learning outcomes for each degree are couched in terms of the courses (and course objectives) required to graduate within a specific major. These are specified for every University degree and major/minor and appear in the *General Catalog,* program brochures, and student handbooks, as well as on Websites.

As described above, assessment is an ongoing activity conducted by faculty and administrators to ensure that students have met the identified learning outcomes. Although the assessment may be more qualitative in some majors and more quantitative in others, each unit is committed to assessing student acquisition of the learning outcomes. Table 2.1 suggests only some of the ways that this assessment occurs.

The assessment process occurs whether a program is offered on campus or off and delivered in person or via technology. Both the University and individual programs expect and ensure that the quality of education offered to students is uniform and that the outcomes of that education are comparable. For example, the College of Social Work periodically compares the outcomes of their Technology Enhanced Doctorate program with their on-campus Ph.D. program. Likewise, both on-campus and off-campus Master of Social Work degree outcomes are compared regularly. This kind of assessment is routinely conducted whenever an academic program undertakes significant changes in teaching/learning approaches.

2.B.3 The institution provides evidence that its assessment activities lead to the improvement of teaching and learning.

The ways in which the University demonstrates how assessment activities have led to improvements in teaching and learning were addressed in Standard 1. For example, the University used information gleaned from assessments to decide to increase support for the Writing Program and by adding a writing center on campus. The decision to change to a system of general education instead of the previous liberal education model was partly the result of assessment data regarding students' ability to get the courses they needed to meet baccalaureate requirements.

There are numerous other examples of the connection between assessment results and efforts to improve teaching and learning. These can be noted in greater detail in the individual department and program self-studies accompanying this Northwest Commission review. They include:

- The Gender Studies Program made significant changes in both program title and course structure in response to an assessment that included comparisons with other similar programs operating across the country.
- The Department of Philosophy changed its requirements for the undergraduate major after assessment results suggested the need to do so. In addition, changes were made in introductory departmental courses to more accurately reflect the goals of the program. Finally, advising arrangements were changed to ensure that all students would have an opportunity to receive advising from faculty members on academic matters. Subsequent surveys of their students have demonstrated the wisdom of these change.
- The Department of Teaching and Learning discovered problems in student evaluations of a particular course and, after careful analysis, decided to eliminate the course from the curriculum. They also instituted the use of portfolios to ensure that their requirements met those required by the state education office, a standard setter for such programs in Utah.
- In response to a program review conducted by The Graduate School, the Department of Educational Leadership and Policy revamped its master's degree emphasis in higher education administration to reflect a better fit among faculty strengths, market need, national norms, and student development.
- The Department of Parks, Recreation, and Tourism undertook two major revisions of its Master of Science curriculum in the last 10 years based upon assessments including making changes in the nonthesis option. They also strengthened content on financial management in response to their specialized accrediting body's suggestion and improved content that they deemed weaker based upon their students' scores on credentialing examinations.

These examples are by no means exhaustive, but they do give a sense of how often assessment results lead to improvement of teaching and learning. At the same time, as is evident from the individual unit self-studies, many assessment measures yield positive results that affirm existing curricula, policies, and procedures and therefore do not require significant program modifications.

Analysis and Appraisal

The University of Utah has been engaging in planning and assessment on a continuous basis. Educational planning has been ongoing, resulting in creation of new programs to meet identified needs, revision of existing programs, and elimination of majors or programs no longer considered necessary. Institutional policies specify a lengthy and thorough process before new programs can begin and involve various levels from the department to the Board of Regents. One potential shortcoming is that the number of programs eliminated is dwarfed by the number of new programs at both undergraduate and graduate levels. Deciding to eliminate an existing program affects both students and faculty teaching in the area.

Assessment of educational programs has improved markedly since the previous reviews that took place in 1996 and 2001. Most academic majors and programs are engaged in some type of assessment that varies in sophistication from one unit to another. At the same time, programs have found assessment to be a difficult challenge, reflected in the absence of notations in the programs assessment table (Table 2.1) provided earlier in this section. Helping these programs to identify and implement appropriate educational outcome assessments is a task that the University has begun and must continue.

STANDARD 2.C – UNDERGRADUATE PROGRAM

Each undergraduate program at the University develops through a rigorous process that ensures students will achieve a substantial, coherent, and articulated exposure to several broad domains of knowledge. These domains include general education requirements, those of the student's major and/or minor, and those selected by the student as electives. Students have a degree of freedom in selecting general education courses although their choices must be from a finite list of identified offerings. They also have substantial freedom in selecting electives, which may be chosen to broaden or deepen their knowledge in an area related to their major or minor or may be taken to pursue their personal interests. The degree of flexibility students have in selecting courses for their major depends a great deal on the program they are pursuing. Some majors prescribe a set curriculum from which there is no deviation whereas others offer students choices within identified areas. Nursing is an example of a more prescriptive major and history is typical of a less prescriptive major. In each case, the selection of appropriate courses is decided by faculty with expertise in the major to assure that each student develops an understanding of the discipline.

The University offers several types of majors and minors:

- Department majors
- Department minors
- Interdisciplinary minors
- Teaching majors
- Composite teaching majors
- Teaching minors

By University *Policies and Procedure Manual* definition, "*A department major is a balanced course of study within a department or in a subject, and shall range from 36 to 45 credit hours, within which limits the power of requirements shall rest with the department concerned.*" A teaching major is *"a balanced course of study within a department or subject which is designed to prepare students to teach the subject in high school. It is otherwise governed by the same conditions and limitations as the department major."* An interdepartment composite teaching major is "*a balanced course within one or more departments and may be offered either (1) when the major department offers regularly fewer than 36 credit hours, or (2) when such a combination of courses is desirable. Within such limits the requirements shall rest with the departments concerned.*"

In addition to the majors and minors described above, the University's Bachelor of University Studies degree, administered by the University Studies Committee, permits a student, in consultation with a faculty adviser, to plan an individualized program of study not offered as a major in any academic department. The general requirements for graduation are similar to other majors with one exception: a minimum of 56 upper division hours is required. Specific requirements for the Bachelor of University Studies degree are set forth in the *General Catalog*.

Minors, which are not required for graduation, generally involve at least 16-18 credits, which may be offered within a single department (department minor) or through two or more departments (interdisciplinary minors).

2.C.1 The institution requires of all its degree and pre-baccalaureate programs a component of general education and/or related instruction that is published in its general catalog in clear and complete terms.

The Office of Undergraduate Studies is charged with helping implement the University's educational mission. The Office of Undergraduate Studies maintains a comprehensive list of the courses offered at the University and publishes the *General Catalog* once every 2 years. Through the Undergraduate Council and 11 area curriculum committees, the Office of Undergraduate Studies also manages the general education and baccalaureate degree requirements for the University. These courses seek to instill in students:

- an appreciation for the acquisition of the knowledge, skills, and perspectives that constitute the foundation of college and lifelong learning
- responsible and rewarding professional service
- personal development
- civic responsibility

General education promotes:

- free and rational inquiry
- critical thinking
- creative expression
- understanding and respect for diversity
- intellectual integrity
- social responsibility

According to the undergraduate studies Website (*http://www.ugs.utah.edu/assessment/cmtescriteria.htm*), baccalaureate degree requirements are designed to broaden and deepen student knowledge and skills in key areas. For example, quantitative intensive courses "*contain a substantial application of quantitative analytic methods in problem solving that builds on prior quantitative reasoning knowledge and skills. Examples of quantitative, analytic methods are: data analysis, numerical and computational techniques, mathematical models, graph theory, and formal logic*." The goal of the diversity requirement "*is to extend cross-cultural understanding, perhaps replacing the impulse to stereotype with better informed reasoning, understanding and judgment skills. This, in turn, will open possibilities for meaningful communication across social boundaries and allow University of Utah students to better consider ethical and social decisions from multiple perspectives. It is also the intent of this requirement to signal to students that their distinctive traditions, opinions and insights belong at the University.*"

The upper division writing and communication requirement is designed to promote the development of student writing and communication skills. Students who complete this requirement will be able to:

- speak and/or write critically
- use multiple forms of writing and communication
- revise their work more than once, based on feedback
- adapt their speaking and writing to different audiences, including those who are familiar and unfamiliar with their discipline
- use technology to improve their writing and speaking

The Bachelor of Arts language requirement is designed to give the student a "*foundation of study required for the continued study of a specific language which may include but is not limited to the study of literature in their language of choice, the origins of the language and its structural features and differentiation from other languages as well as the role of language in culture and society. The study of language significantly contributes to undergraduate education by exposing students to and involving them in another culture. This involvement gives students a comparative perspective on their own culture, language, mores and traditions*."

A new baccalaureate degree requirement (international) "*will give students a broad base of knowledge about global issues and about global perspectives in a comparative context. It will introduce students to international frames of reference so that they may think critically about long-standing and newly emerging issues. It will help students accept and appreciate the interdependence of nations and the viewpoints of other nations, and give them the ability to communicate with people across international borders*."

A more detailed description of the general education program is provided on pp. 81-82 of the *General Catalog*. The mission statements for each of the General Education and Baccalaureate committees that oversee these two curricular areas can be found online at *http://www.ugs.utah.edu/assessment/cmtescriteria.htm*.

2.C.2 The general education component of the institution's degree programs is based on a rationale that is clearly articulated and is published in clear and complete terms in the catalog. It provides the criteria by which the relevance of each course to the general education component is evaluated.

The *General Catalog* notes that "*College is an important step in preparing students to make a living and to make a life. University requirements prepare students to be effective citizens of the 21st century, part of a "global village" different from anything faced by any previous generation. Learning to learn is the ultimate goal of students' time at the University. Students must learn to write well. They must learn either the language of another country or culture, or the language of mathematics. Students need to understand the basic premises of the culture of the United States. Students need to finish their undergraduate education with either an appropriate background for graduate school or with the ability to enter employment. To that end, students will complete general education requirements in writing, American institutions, quantitative reasoning, and intellectual explorations.*"

• *Writing*

The general education writing requirement is designed to "*ensure that students develop the rhetorical skills necessary for success*" in their college courses. Students typically take Writing 2010 in order to satisfy this requirement. Writing 1010 may be taken before 2010 if the student's writing is deficient.

• *American Institutions*

The American institutions requirement is based on the belief that students must develop an "*understanding of fundamentals of history and the principles and form of government and economic system of the United States. The objective of the requirement is to ensure that students have at least a minimal basis for responsible citizenship*." This rationale is the basis for decisions about which University courses are approved for meeting this requirement. Four courses, Economics 1740 (U.S. Economic History), History 1700 (American Institutions), Honors 2212 (American Institutions), and Political Science 1100 (U.S. National Government) satisfy this requirement.

• *Quantitative Reasoning*

This requirement is premised on the need for students to have the "*ability to use and critically evaluate information, especially numerical information*" and "*the skills necessary to make rational decisions based on real data. They should be exposed to general methods of inquiry that apply in a wide variety of settings; they should be able to assess critically arguments and rational decisions. Finally, students should develop the ability to judge the strengths and limitations of quantitative approaches to knowledge*." To satisfy this requirement, students must complete a mathematics course identified in the *General Catalog* as well as a course in statistics or logic. Courses that will meet these requirements are also listed in the catalog and online.

• *Intellectual Explorations*

Courses that satisfy the intellectual explorations requirement "*reflect core academic values and traditions of inquiry that are specific to each domain of intellectual inquiry. It is hoped that all students, regardless of their major, will gain an appreciation for and understanding of the breadth of knowledge defining our world.*" There are four areas of intellectual inquiry: fine arts, humanities, social science, and physical and life sciences. Students take two courses from each of the four areas.

Undergraduate studies is charged with maintaining the list of approved courses that satisfy the general education requirements. Seven of these requirements have committees that meet regularly to review new and existing courses to assure that their design and implementation reflect the criteria of the designation and the goals of the University for general education and the baccalaureate degree. Three requirements -- American institutions, lower division writing, and the B.A. foreign language requirement -- have administrators assigned to them but do not require committee oversight because very few courses meet these requirements and new courses are not regularly proposed in these areas. The chair of the B.A. foreign language requirement has conducted an outcome study on foreign language speaking and writing ability since 2002. One committee covers both the quantitative reasoning and quantitative intensive requirements. However, only quantitative intensive courses are regularly reviewed as the quantitative reasoning requirement is met by any mathematics course that is at the 1030 level or higher, except for 1040 and 1070.

2.C.3 The general education program offerings include the humanities and fine arts, the natural sciences, mathematics, and the social sciences. The program may also include courses that focus on the interrelationships between these major fields of study.

As described above, the general education program includes offerings in the humanities, fine arts, mathematics, natural sciences, and social sciences. A complete list of the courses that meet general education requirements in each of these areas is online at *http://www.ugs.utah.edu/assessment/cmtescriteria.htm* and in the *General Catalog*.

2.C.4 The institution's policies for the transfer and acceptance of credit are clearly articulated. In accepting transfer credits to fulfill degree requirements, the institution ensures that the credits accepted are comparable to its own courses. Where patterns of transfer from other institutions are established, efforts to formulate articulation agreements are demonstrated.

The University's transfer and credit acceptance policies are described in the *General Catalog*. When a student transfers to the institution, the transcript is reviewed by the admission staff to determine comparability with University of Utah courses. Whenever possible, students receive credit for prior courses either as equivalent to University of Utah courses or as electives. This process is facilitated by Board of Regents' policies that mandate easy transfer from one state institution to another. Courses at one institution that are comparable to those at others often share the same number. Moreover, articulation agreements and the *Getting Ready Guides* help students know which of the courses from their old school will match with University of Utah courses. This information is available in hard copy and online at *http://www.sa.utah.edu/admiss/Transfer/guide.htm*. Both potential transfer students and academic advisors at other institutions have access to this information. In the event that a student believes a transfer course is similar to one at the University of Utah but was not granted equivalency, the course may be reviewed by a department chair in the specific discipline to assess comparability.

2.C.5 The institution designs and maintains effective academic advising programs to meet student needs for information and advice, and adequately informs and prepares faculty and other personnel responsible for the advising function.

Advising is a shared responsibility between the undergraduate studies program and the academic departments. Advising begins at orientation where undergraduate studies provides freshmen students with three orientation choices: 1-Day Orientation (an intensive, day-long orientation); Overnight (a 2-day comprehensive campus experience); and Outback (a 3-1/2-day experience combining time spent on campus with 2 days in the Uinta Mountains). Two types of orientation programs are offered for transfer students. They can participate in a day-long program, similar to the freshmen program or they can opt for an abbreviated version of this orientation that does not include academic advising. Additionally, the online orientation is available for transfer and freshmen students if they are unable to come to campus for an orientation program. Other programs have been developed to promote engagement in the University and development of students, including University Preview Day and PlazaFest.

Once admitted to the University, students may receive advising in one of two ways. First, a student who has not selected a major will work with advisors from University College. This unit is tasked to assist University of Utah students to realize their potential through academic advising. University College advisors and staff interact with students in a variety of settings, evaluating their needs and teaching them how to navigate the higher education system. Services are targeted toward freshmen, transfer, and all other transitioning students. Staff work with students to develop and implement individual plans for the purpose of achieving educational and life goals.

Second, a student who has chosen a major will be advised by a faculty or staff member from that discipline. Departmental advisors are also assisted by training provided each year through the auspices of University College as well as *The Crouton*, a newsletter for advisors that is published by the University Academic Advising Committee. In addition, University College hosts periodic gatherings of academic advisors both to reinforce the importance of advising and to share information.

Advisors and students are assisted in the process by the Degree Audit Reporting System (DARS), generated for each student. The DARS identifies requirements that the students have met as well as those that remain. It provides information on general education, bachelor's degrees, and major requirements as well as other graduation requirements such as upper level course hours, total hours, and residency hours.

The University Academic Advising Committee is a campuswide committee that discusses campus issues that impact academic advising and helps ensure that communication across the multiple offices focused on students is current. Monthly meetings involving representatives from the registrar office, admissions, advising, DARS, and other units facilitate this process. One advisor from University College and one advisor from an academic department chair this group. Each college/department sends one participant for each meeting. In addition to advisors, other campus partners are invited to insure that appropriate information is being communicated to the advising community.

Three permanent standing subcommittees have been established to deal with issues of particular concern to the advising community. The Subcommittee on Advisor Education and Development is responsible for offering information and training programs for new academic advisors as well as for providing professional development opportunities for all advisors on campus. The Freshman Advising Subcommittee oversees the new freshman advising and priority registration programs and other topics affecting new freshmen at the University. The Technology Subcommittee addresses advising issues that are impacted due to technology. University College has representation on all of these subcommittees.

A more detailed explication of the importance of academic advising to the University is included in the self-study prepared by undergraduate studies. The self-study also identifies the learning outcomes for University College as they relate to advising.

2.C.6 Whenever developmental or remedial work is required for admission to the institution or any of its programs, clear policies govern the procedures that are followed, including such matters as ability to benefit, permissible student load, and granting of credit. When such courses are granted credit, students are informed of the institution's policy of whether or not the credits apply toward a degree

The University employs an admissions index to determine which students merit admission to the institution. Under current rules, no more than 5% of students can be admitted if they do not meet the minimum admissions index score, GPA, or other requirement. The *Policies and Procedures Manual* states, *"Applicants meeting the index criteria but failing to meet the high school curriculum criteria will not be admitted to the University until they qualify by completing the requirements through a community school. New freshman applicants who present credentials with subject matter deficiencies but have an ACT score at the 50th percentile of the college-bound population, or comparable ranking on the SAT and have a cumulative GPA of a 3.0 or better may be admitted on condition. Conditional admission include a statement of the nature of the deficiency and the manner and time in which it shall be remediated.*

International nonnative speakers of English who do not meet the required level for academic English proficiency may also be conditionally admitted provided that they satisfy all other relevant entrance requirements. Sudents in this category will have no more than one year to remediate the lack of proficiency in academic English. Such conditional admission will similarly include a statement of the nature of the deficiency and the manner in which it will be remediated. This statement will follow the guidelines for students lacking academic proficiency in English established by the Credits and Admissions Committee."

Students with identified deficiencies in mathematics are placed in specific courses designed to bring them up to a point where they can be successful in the required general education mathematics courses. These courses are provided to students through academic support services, which also provides tutoring in writing, math, study skills and college survival skills. A course that does not count toward graduation is so noted at the time of registration.

A more detailed description of admissions policies and procedures may be found at *http://www.admin.utah.edu/ppmanual/9/9-6.html.*

2.C.7 The institution's faculty is adequate for the educational levels offered including full-time faculty representing each field in which it offers major work.

As described in Standard 4.A.1, the University employs full-time faculty whose primary obligation is to the institution and who are recruited for every field in which majors are offered. They are augmented by both full-time auxiliary faculty and adjunct faculty who are hired to teach specific courses. More than 70% of student credit hours are taught by either tenure/tenure-track faculty or by other full-time faculty.

Faculty have primary responsibility for curriculum development and review, educational policies, admission standards, and advising of students. They are also responsible for retention, promotion, and tenure policies and evaluation of faculty performance.

2.C.8 In an effort to further establish an institution's success with respect to student achievement, the Northwest Commission on Colleges and Universities shall require those institutions that offer pre-baccalaureate vocational programs to track State licensing examination pass rates, as applicable, and job placement rates.

The University of Utah does not offer prebaccalaureate vocational programs.

Analysis and Appraisal

The undergraduate program of the University is a solid entity with well-defined goals and clear expectations for students. The general education core has been revised in response to past assessments, and several faculty committees are charged with approval of new general education courses as well as ongoing evaluation of existing courses. Educational programs are reviewed on a regular basis through the internal review process conducted by the Graduate Council. This review process results in specifically identified changes that reflect agreements among programs, the Graduate Council, and University administration. Changes may involve additional resources, retraining of faculty, refocusing of programs, or recommendations for new directions. The process of assessment conducted at the program level, augmented by Graduate Council review, and evaluation visits conducted by specialized accrediting groups helps ensure that the educational programs of the University remain current, focused on student need, and responsive to changes in the larger environment.

STANDARD 2.D – GRADUATE PROGRAM

The Graduate School is a central administration structure that coordinates, supervises, and reviews all programs of graduate study in the University. The Graduate School reports to the Senior Vice President for Academic Affairs. Although programs of study reside in the academic colleges, The Graduate School grants all graduate academic and most professional degrees. Prospective graduate students apply for admission to graduate study to The Graduate School and the department or program in which they wish to study. The Graduate School also is responsible, through the Graduate Council, for the regular review of all programs or departments that offer both graduate and undergraduate degrees. These reviews are characterized by a general approach: they are collegial in the broadest sense of the term and are based on the concept of peer review, they are scholarly in that they seek to define questions whose answers will increase understanding of the programs, they are comprehensive in that they view the programs under review as being connected both to other programs within the University and to the intellectual issues of the discipline at large, and finally, they are dynamic in that they "close the assessment loop" by resulting in actions that will improve undergraduate and graduate education.

2.D.1 The level and nature of graduate-degree programs are consistent with the mission and goals of the institution.

The mission of The Graduate School is to nurture and support the quality of graduate programs at the University of Utah. Its major objectives are: (1) establish and maintain University-wide graduate standards and policies, (2) support and maintain program-level graduate requirements and policies, (3) assure quality across the University of Utah's academic departments and programs through the

Graduate Council review process, (4) secure and expand financial support for graduate students, and (5) promote and support the quality and diversity of graduate students. The organization of The Graduate School supports the accomplishment of these five major objectives.

2.D.2 Programs of study at the graduate level are guided by well-defined and appropriate educational objectives and differ from undergraduate programs in requiring greater depth of study and increased demands on student intellectual or creative capacities.

One of the distinguishing and treasured features of the University of Utah is its long tradition of faculty governance at the level closest to each academic area of expertise. Consequently, The Graduate School, through the policy-making power of the Graduate Council, seeks to help individual units preserve and enhance the highest standards of excellence in their individual disciplines. Each department establishes policies that are enforced through the regulatory power of The Graduate School (i.e., admissions criteria in addition to University minimums and degree requirements within general guidelines and upon Graduate Council approval). The Graduate Council relies heavily on the expertise of external reviewers, professional associations, and disciplinary societies for critiques of the quality and standards of individual units, degrees, and programs.

Graduate Council

The Graduate Council consists of one faculty representatives from each college of the University of Utah. Members serve 3-year terms and are appointed by The Graduate School dean from among nominees of the dean of each college. The council plays a vital role in assuring faculty oversight of quality control and review, program approval, and graduate policy at the University. Ad hoc committees within the council are responsible for synthesizing and interpreting the department and program self-studies and the reports of external and internal review teams. The ad hoc committees prepare a report that is approved by the entire Graduate Council and forwarded to the Senior Vice President for Academic Affairs or Health Sciences. These reports are reviewed by the Academic Senate and the Board of Trustees, and they serve as the institutional program review reports to the Board of Regents.

Organization

The Graduate Schools consists of (1) the administrative officers and staff in The Graduate School Office, (2) the Thesis Office, (3) the Graduate Records Office, and (4) the Graduate Council. The Graduate School Office includes the dean, the associate dean for academic affairs, the associate dean for postdoctoral affairs and professional programs, the assistant dean for diversity, a manager of graduate school operations, a director of fellowships and benefits, and three administrative and executive secretaries. The Thesis Office includes two thesis editors. One administrative secretary manages the Graduate Records Office.

The dean and associate deans are long-time faculty who hold the rank of professor with tenure at the University of Utah and are responsible for the academic oversight of the office-- program and proposal reviews, admission to graduate study, academic and administrative approval review, and academic governance functions as assigned. They also work closely with undergraduate studies and research administration on issues of overlapping and shared concern. Other professional staff oversee the recruitment, fellowship, tuition benefit, health insurance subsidy, admission, and general staff support activities of the office.

Degree, Certificate, and Program Approval Processes

Each academic unit is responsible for initiating graduate curriculum and degree changes and new degree or certificate proposals. New courses and minor changes in degree requirements are handled through department and college curriculum committees and review processes. These curriculum changes are reviewed by the Graduate Council as part of the regular 7-year review process. Major degree or certificate changes must be approved through the University and state approval processes as follows. Revisions, explanations, or additional information may be requested at all levels of this review process. The Graduate Council often refers proposals back to the initiating unit for clarification or refinement or negotiates collaboration among units.

The University completes the following steps in its proposal approval process:

(1) Proposal design, review, and approval by the faculty of the division, department, or college (where no departments are established).

(2) Review and approval by the chair, director, or dean and letters of support from any other academic units or programs that may be affected by the proposal.

(3) Review and approval by the academic dean.

(4) Review and approval by the Graduate Council and the dean of The Graduate School.

(5) Review and approval by the Senior Vice President for Academic Affairs or the Senior Vice President for Health Sciences as appropriate.

(6) Review and approval by the Academic Senate.

(7) Review and approval by the Board of Trustees.

(8) Review and approval by the Board of Regents.

2.D.3 When offering the doctoral degree, the institution ensures that the level of expectations, curricula, and resources made available are significantly greater than those provided for master's and baccalaureate level programs.

The process identified and described above ensures that expectations, curricula, and resources for doctoral programs are significantly greater than for master's and baccalaureate degree programs. These differences are detailed in proposals for new doctorates and in reviews conducted by the Graduate Council.

STANDARD 2.E – GRADUATE FACULTY AND RELATED RESOURCES

2.E.1 The institution provides evidence that it makes available for graduate programs the required resources for faculty, facilities, equipment, laboratories, library and information resources wherever the graduate programs are offered and however delivered.

Because of the University of Utah's campus-wide focus on teaching and research, all tenure-track faculty at the University of Utah must be qualified to serve on graduate thesis and dissertation committees. No separate graduate faculty are established at the University. Graduate Council policy permits faculty granted adjunct or clinical faculty status by the Academic Senate to serve on graduate committees with the approval of the dean of The Graduate School. However, the majority of the three-member master's committees and five-member doctoral committees must be tenure-track regular faculty in the student's major department. Supervisory chairs must be selected from regular (tenured or tenure-track) faculty.

Nearly all tenure-track faculty at the University of Utah hold what is considered a terminal research or professional degree in their fields (i.e., Ph.D., M.F.A., J.D., M.D.) with 89.9% of those being a doctorate. Many hold additional degrees as well (i.e., M.D./Ph.D.). Because all tenure-track faculty are graduate faculty, the faculty summaries and profiles contained in each college section of this self-study include the degrees, professional experience, research, publications, membership in professional societies, and attendance and presentation of research papers at professional meetings; and special and noteworthy external recognition of faculty. Please see faculty curriculum vitae in the references provided. All tenured faculty must be reviewed every 5 years to assess their performance as full members of the faculty. (See discussion on tenured faculty review under Standard 4.)

The process of seeking approval for new graduate programs includes a careful analysis of the facilities, equipment, laboratories, library, and information resources required to offer a high quality program. Insufficiency in any one of these area often dooms a program at the outset unless there is a feasible plan for remedying the lack of resources. The question of appropriate resources for delivering graduate offerings is also a major component of the Graduate Council review process.

2.E.2 The institution demonstrates a continuing commitment of resources to initiate graduate programs and to ensure that the graduate programs maintain pace with the expansion of knowledge and technology.

Funding and requests for other resources come directly from the college or program offering graduate programs. Maintenance of necessary resources is therefore a shared responsibility among the offering unit, The Graduate School, and the University. The Graduate School sets standards for adequate support and health benefits for graduate students and establishes other expectations designed to ensure that advanced degree offerings have the ongoing resources needed to achieve their purposes.

2.E.3 Institutions offering graduate degrees have appropriate full-time faculty in areas appropriate to the degree offered and whose main activity lies with the institution. Such faculty are related by training and research to the disciplines in which they teach and supervise research.

As described above, under 2.E.1, all tenured and tenure-track faculty are, by virtue of the University's mission, graduate faculty. The vast majority hold terminal degrees in their respective fields and are eligible to serve on supervisory committees and serve as chairs of those bodies. In addition, auxiliary faculty with appropriate terminal degrees may be permitted to sit on committees although they are not eligible to chair the committee.

2.E.4 Faculty are adequate in number and sufficiently diversified within disciplines so as to provide effective teaching, advising, scholarly and/or creative activity, as well as to participate appropriately in curriculum development, policy development, evaluation, institutional planning, and development. Small graduate programs ordinarily require the participation of several full-time faculty whose responsibilities include a major commitment to graduate education.

The mission of the University, faculty rights and responsibilities, and the tradition of shared governance help ensure that those individuals providing graduate education are qualified to undertake their multiple roles associated with this level of training. The adequacy of faculty numbers and qualifications is ascertained at the time a program is requested and again when the Graduate Council review occurs. Programs that no longer have sufficient resources to offer graduate degrees are subject to elimination.

2.E.5 In the delivery of off-campus programs, full-time faculty whose responsibilities include a major commitment to graduate education provide physical presence and participation in the planning, delivery, and assessment of the programs.

All off-campus graduate programs are designed and led by full-time faculty to help ensure that these offerings meet the same standards as on-campus programs. The full-time faculty may be augmented by part-time adjunct colleagues as needed to deliver the same quality of program regardless of where the program is offered. These programs may be delivered at a distance from campus by faculty traveling to the off-campus site, stationing faculty at the off-campus location, or delivering the program via closed circuit television, online, or through some combination of the above.

2.E.6 The institution that offers the doctoral degree has a core of full-time faculty active in graduate education at its main campus and at each off-campus location where doctoral programs are offered.

The University maintains a very large core of full-time faculty who take major responsibility for offering of doctoral degrees whether on- or off-campus.

STANDARD 2.F – GRADUATE RECORDS AND ACADEMIC CREDIT

2.F.1 Graduate program admission policies and regulations are consistent with and supportive of the character of the graduate programs offered by the institution. These policies and regulations are published and made available to prospective and enrolled students.

In keeping with its commitment that each discipline and professional school have maximum control over the admission of graduate and professional students, each department establishes its own admissions requirements and recommends admission to The Graduate School. These requirements often include a writing or publication sample, letters of recommendation, standardized achievement test (e.g., Graduate Records Examination), and professional experience. The Graduate Council has established minimum requirements for admission that students must meet. These include a bachelor's degree from an accredited college or university and a grade point average of 3.0 for all undergraduate work or for the final 2 years. If students do not meet these requirements and a department recommends admission, the case is referred to the Graduate Council Admission Committee, which consists of the associate dean of The Graduate School (chair), the director of the University Admissions Office, and three members of the Graduate Council. When a department recommends that a student not be admitted, and if the student alleges that the denial was based on arbitrary, capricious, or illegal criteria, the student may appeal to the Graduate Council Admission Committee.

In response to requests from several departments to have more transparent admission criteria for those students who failed to satisfy the 3.0 GPA requirement, The Graduate School developed a set of criteria that attempted to identify those students with low undergraduate grades who would be likely to succeed in graduate school. Those additional criteria included: (1) Time out. Has the student taken time out or away from universities, generally 3 years or more, following the undergraduate experience? (2) Work experience. Has the student been working in a field related to the field chosen for graduate studies? (3) Maturity. Do referees from the students' recent work experience speak to maturity and motivation of the student? (4) Are there test scores that suggest the student might perform at a higher level in graduate school than she/he did as an undergraduate? (5) Has the student taken courses as a nonmatriculated student and performed well against a graduate student cohort? Students satisfying several of these criteria are often admitted to graduate school, sometimes under probation. We performed a blind, retrospective test using these criteria on students whose cases had been previously presented to the Graduate Council Admissions Committee and admitted to academic programs; these criteria clearly were able to discriminate between successful students and students who had dropped out of their academic programs.

2.F.2 Admission to all graduate programs is based on information submitted with the formal application such as undergraduate and graduate transcripts, official reports on nationally recognized tests, and evaluations by professionals in the field or other faculty-controlled evaluation procedures.

Admission to graduate programs is based upon information submitted by the student. Such information includes transcripts, references, and the results of applicable nationally standardized examinations. A score of 500 or better (173 on computer-based exam) on the Test of English as a Foreign Language (TOEFL) is required for applicants whose first language is not English. (Individual departments may require higher scores.) Departments increasingly are requiring Test of Spoken English and/or the Test of Written English scores to accompany the TOEFL for international students.

2.F.3 Faculty teaching in graduate programs are involved in establishing both general admission criteria for graduate study as well as admission criteria to specific graduate programs.

Faculty are responsible for setting policies and admission criteria for individual graduate programs. This occurs both within departments and programs offering graduate degrees as well as through committees such as the Graduate Council Admissions Committee.

2.F.4 Graduation requirements for advanced degrees offered by the institution are determined by the faculty teaching in the applicable graduate programs. At minimum, the policies governing these graduation requirements include:

- the specified time period in which the degree must be completed;
- the number of credit hours that must be completed at the degree-granting institution, normally at least two-thirds of those required for the degree;
- the minimum number of graduate-level credits, normally at least 50% of those required for the degree;
- for the master's degree, a minimum of one academic year of full-time study or its equivalent, with a minimum of 24 semester hours;
- the number of graded credit hours that must be earned for the degree;
- the minimum standard of performance or acceptable grade point average, normally a B or its equivalent;
- the types of qualifying and exit examinations the candidate must pass;
- the proficiency requirements the candidate must satisfy; and
- the thesis, dissertation, writing, or research requirement the candidate must satisfy.

Those teaching in graduate programs are responsible for setting and helping communicate to students the policies under which the programs operate. These policies include those applying to all students regardless of the degree sought and those that are unique to individual graduate programs. These policies are specified in appropriate program handbooks (see *http://www.socwk.utah.edu/Ph.D./admissionsapplication.asp* for one such example) and in the *Graduate Handbook* available at *http://www.utah.edu/graduate_school/ghrequirements.html.*

2.F.5 Transfer of graduate credit is evaluated by faculty based on policies established by faculty whose responsibilities include a major commitment to graduate education, or by a representative body of such faculty who are responsible for the degree program at the receiving institution. The amount of transfer credit granted may be limited by the age of the credit, the institution from which the transfer is made, and the appropriateness of the credit earned to the degree being sought.

Transfer credit (Standard 2F.5) is closely monitored by the University and follows Northwest Commission on Colleges and Universities standards. Up to 6 semester hours of transfer credit may be applied toward fulfillment of graduate degree requirements if they (1) are of letter grade B or higher, (2) are recommended by the student's supervisory committee, and (3) are taken within the department's prescribed time limit.

Once admitted into an academic or professional graduate program, each student is subject to degree requirements and time limits established by that program. All program regulations are published in the relevant section of the *General Catalog*.

2.F.6 Graduate credit may be granted for internships, field experiences, and clinical practices that are an integral part of the graduate degree program. Consistent with Policy 2.3 Credit for Prior Experiential Learning, credit may not be granted for experiential learning which occurred prior to the student's matriculation into the graduate degree program. Unless the graduate student's faculty advisor structures the current learning experience and monitors and assesses the learning and its outcomes, no graduate credit is granted for current learning experiences external to the student's formal graduate program.

Specific programs within the University grant credit for internships and similar practica that are designed as an integral component of the graduate degree. Examples include nursing, social work, and law. Credit is not granted by any program for prior experiential learning and only specified current learning experiences are eligible for credit acquisition.

Commendations and Challenges for The Graduate School

The Graduate School considers the following programs and actions over the last decade to be commendable.

1. The Graduate School's comprehensive program review, with a strong historical legacy and important improvements in the last decade to make the process more efficient, more collegial, and more effective, stands as a national model of effective practice. Program reviews conducted by the Graduate Council are a fundamental part of the University's comprehensive outcomes assessment plan. The wrap-up meeting in which all recommendations result in an action plan for improvement constitutes an ongoing process of "closing the loop" for assessment.

2. Two benefits plans provide substantial support for graduate students in all programs. A comprehensive and generous tuition benefit plan (implemented in 1994) now supports nearly 2,000 students annually, almost one third of the graduate student body. A health insurance subsidy for teaching and research assistants (implemented in 2004) benefits about 1,000 graduate students annually.

3. The Graduate School has initiated an Office for Postdoctoral Affairs and Professional Programs. The office offers a one-stop

location for recruitment, orientation, visa administration, and transferable skill training to serve the nearly 500 postdoctoral scholars on campus.

4. The Graduate School, working with the Center for Teaching and Learning Excellence, has solidified and expanded the roles for teaching assistant and international teaching assistant training. All international teaching assistants are required to pass a language and culture training with the International Teaching Assistant Program prior to being appointed as a teaching assistant; beyond that certification they are monitored, coached, and mentored to become more effective teachers.

Several issues and challenges also were identified during the reaccreditation self-study. Prominent among goals needing attention are: (1) converting the graduate records office to a digital format in which all graduate records are established and maintained electronically, (2) creating an electronic submission capability for theses and dissertations, (3) providing appropriate student services to a changing graduate student population, and (4) moving forward on a nascent development plan. The Graduate School's strategic plan addresses all of these challenges.

STANDARD 2.G – CONTINUING EDUCATION AND SPECIAL LEARNING ACTIVITIES

2.G.1 The institution provides evidence that all off-campus, continuing education (credit and noncredit), and other special programs are compatible with the institution's mission and goals, and are designed, approved, administered, and periodically evaluated under established institutional procedures.

Continuing education enriches the lives of people of all ages in the greater community and beyond by providing extraordinary learning opportunities at the University of Utah.

Closing the Loop: Program Review Wrap-Up Meetings

A critical element of University of Utah program review, conducted by the Graduate Council, is the wrap-up meeting. The wrap-up follows four steps that lead to a series of recommendations for the program: (1) preparation of a self-study by the department or college, (2) visit and evaluation by external peers, (2) visit and evaluation by an internal team of colleagues from other colleges, (3) responses from the chair and dean, (4) analysis and synthesis by an ad hoc committee of Graduate Council members followed by consideration by the entire Graduate Council. At the wrap-up meeting the Senior Vice President for Academic Affairs or for Health Sciences, the dean of the college, and the department chair are asked to consider each recommendation resulting from the program review and assign a responsibility for carrying out that recommendation. The Graduate School checks annually on the progress towards implementing the recommendation. Through program reviews, and specifically the wrap-up meetings, 10 University of Utah departments/colleges each year undergo the complete cycle of assessment, stating objectives or goals, evaluating performance in achieving those goals, making recommendations to improve performance, and implementing those recommendations -- in short, closing the loop.

- Continuing education services provided include credit and noncredit courses taught on campus, at four main off-campus sites, and at selected locations in the Salt Lake region.
- Programming units include youth education, lifelong learning, technology education, English Language Institute, professional education, contract and credit courses, distance education, Osher Lifelong Learning Institute, and test preparation.
- Continuing Education served approximately 24,500 students in 2004-2005
- Continuing Education employs 109 professional staff members and 274 part-time instructors.
- Expenditures in 2003-2004 totalled $6.35 million.

University continuing education programs reflect the decentralized nature of the campus. Throughout the 1990s, continuing education was a more centralized operation. This began to change in the period 2000-2002. Perhaps the most significant change began in 2000 with a shift in budget and curriculum responsibility for evening and summer classes from continuing education to the academic departments, requiring a fundamental shift in the mission and focus of continuing education from credit to noncredit programs. Table 2.2 reflects the impact of this shift on continuing education's budget.

This shift in focus was followed by both an internal and external assessment of the University's continuing education operation that highlighted significant difficulties, particularly in regard to financial viability. In response to this assessment and the previous shift in budget paradigm, the department was reorganized, and every unit scrutinized for sustainability. Over 30% of staff members, most of whom were full-time, benefited employees, were subject to a reduction in force. In addition, an audit of noncredit programs identified strengths and weaknesses, and a marketing plan for the unit was created and implemented. After several years of turmoil, these efforts were successful and continuing education is now both fiscally and programmatically stable.

In practice, these changes meant that continuing education would be provided both centrally as well as by individual colleges within the University. The University's continuing education operation has a concise strategic plan that details the unit's alignment with institutional goals and values. Moreover, programming units also have their own strategic plan, allowing them to achieve their diverse goals within the framework of continuing education. In 2002 the review described continuing education's relationship with academic departments as more competitive than collaborative. Efforts to collaborate more with departments have resulted in reduced registration fees and financial incentives for departments to offer entire degree programs at the off-campus sites. A more detailed discussion regarding the above changes can be found in the self-study submitted by the Office of Continuing Education.

All continuing education and related programs and courses operated by academic colleges are designed to be consistent with the University of Utah mission and goals. The approval process for continuing education activities is similar to that for regular courses. For example, planning for continuing education that takes place within academic departments

Table 2.2: State Appropriated Funds for Continuing Education

Academic Year	Amount
1999-2000	$11 million
2000-2001	$4.3 million
2004-2005	$3 million

is done with the same degree of specific oversight required for other courses and programs. Review of continuing education operations at the college level occurs as part of the Graduate Council review, one of the University's ongoing assessment tools. In addition, specialized accreditation agencies are often concerned with the quality of continuing education programs offered by academic units and include this area in their evaluations.

2.G.2 The institution is solely responsible for the academic and fiscal elements of all instructional programs it offers. The institution conforms to Policy A-6 *Contractual Relationships with Organizations Not Regionally Accredited*.

The University assumes sole responsibility for both the academic and fiscal elements of all its instructional programs. It does not maintain contractual relationships with any organization that is not regionally accredited. Although individual academic colleges may seek approval from other organizations to certify a course or courses for professional continuing education units, the college retains full responsibility for the quality of the offering.

2.G.3 Full-time faculty representing the appropriate disciplines and fields of work are involved in the planning and evaluation of the institution's continuing education and special learning activities.

The Continuing Education Academic Program Advisory Committee provides oversight of the University's continuing education activities. In addition, each academic college offering continuing education courses or programs ensures that both planning and evaluation of these offerings involves full-time faculty with appropriate credentials. Some colleges maintain program advisory committees specifically for helping plan and evaluate individual programs. Courses that are offered for academic credit must be approved by the appropriate unit's curriculum committee.

2.G.4 The responsibility for the administration of continuing education and special learning activities is clearly defined and an integral organizational component of the institution's organization.

Continuing education is administered by Assistant Vice President Charles Wight and is part of the Office of Undergraduate Studies, which reports to Senior Associate Vice President John Francis. The combination of central administration of continuing education and decentralized development and offering of courses is consistent with the overall operation of the University of Utah. In addition, as indicated above, the Office of Continuing Education is responsible for offering noncredit courses whereas academic departments have primary responsibility for courses offered for credit. This is especially true for evening and summer school continuing education courses that are operationally and fiscally the responsibility of academic units.

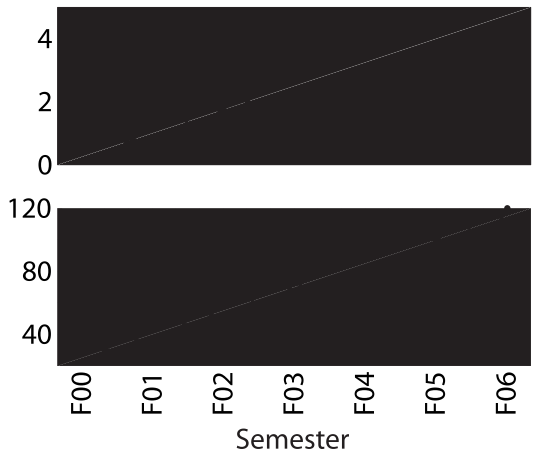
2.G.5 Programs and courses offered through electronically-mediated or other distance delivery systems provide ready access to appropriate learning resources and provide sufficient time and opportunities (electronic or others) for students to interact with faculty.

The University of Utah offers online, distance education, independent study, and telecourses. Each is discussed below.

• *Online and Distance Education*

The first fully online courses offered by the University of Utah were created in 1998. Since 2000, the growth of online courses and enrollments has been steady at approximately 30% per year (see Figure 2.1). During spring 2006 semester, the University offered 115 fully

Figure 2.1: Enrollment Growth in Students and Online Courses Fall 2000-2006



online courses with 3,800 student enrollments (duplicated headcount). Online courses are very popular with students, and the classes fill rapidly each semester. The total number of enrollments is limited mainly by the number and size of classes offered.

In 2000, Charles Wight was appointed academic coordinator for Web-based instruction for the purpose of developing University policies for online education. At that time, the University recognized that courses offered over the World Wide Web were an important potential source of enrollment growth. However, two major obstacles discouraged us from making a large financial investment in online courses at that time. First, there was little evidence that students were prepared to learn advanced academic subjects in an online environment at least as effectively as in the classroom. Second, only a small fraction of the faculty had the technology skills and knew effective teaching methodologies to offer high quality classes online.

The decision was made to offer incentives and support to faculty (early adopters) who expressed a desire to develop online courses and learning tools, but not to create an administrative mandate to teach a large number of online courses. For this purpose, the University created the Technology Assisted Curriculum Center (TACC), which is located in the Marriott Library. TACC offers free workshops, individual support services, and small ($5,000) grants to faculty for the purpose of creating new online courses. The grants have led to the creation of about 20 new online courses each year. A few other online courses are created each year without grant support. TACC was created and funded by the Office of the Senior Vice President for Academic Affairs, but the daily operation of TACC is the responsibility of the director, Alison Regan, who reports to the director of libraries.

TACC is also the main point of contact for online student support services, including assisting with registration, compiling student contact information for instructors, scheduling and proctoring exams, and maintaining a comprehensive site for information on online courses at *http://uonline.utah.edu*. Figure 2.1 comes from the instructor frequently asked questions section of UOnline, which is the student support arm of TACC.

• *Online Courses Offered by Academic Departments*

Although many universities began offering courses through their continuing education or extension programs, we decided that most online courses should be offered by academic departments instead. The main reasons are:

- Teaching online requires advanced pedagogical skills, and the best qualified experts are faculty situated in academic departments.
- Approval for the creation of new courses and responsibility for the quality of those courses ultimately rest with academic departments.
- In the future, classes will span the full continuum of teaching with technology, from 100% classroom to 100% online, and everything else in between. Most online courses at the University of Utah are simply online sections of courses that are also

taught in the classroom. By making departments responsible for all course offerings, students can find all of the courses in the same place (the online class schedule maintained by the Registrar) and choose whichever modality (online, Web-enhanced, classroom, telecourse, etc.) suits them best.

- In most cases, online courses are offered by instructors who continue to teach classroom sections of the same course. Therefore, direct comparisons of learning outcomes are easy to make (e.g., by giving similar or identical exams), and we can ensure the quality of our online course offerings. In at least one case in which online student learning outcomes were consistently inferior, the instructor stopped offering the online section of the course.

• *Independent Study and Telecourses*

Many years ago, the Office of Continuing Education was given the responsibility of offering print-based correspondence courses and telecourses. The correspondence courses were offered as a service to students unable to come to campus daily (e.g., those living in rural areas of the state) or who need to complete a course outside the normal time limits of the semester system. These independent study courses are starting to be converted to online courses for the convenience of students and to take advantage of communication and learning tools that are available online but not in printed form (e.g., interactive computer-graded quizzes, simulations, discussion groups, chat, etc.). Currently, 14 online independent study courses serve about 100 students. There are still 73 print-based courses serving about 1,200 students. Responsibility for this function continues to lie with continuing education because teaching assignments in academic departments are better managed within the framework of the semester calendar. However, continuing education is working closely with faculty in departments to create and offer high quality online independent study courses that leverage the work already done to create the regular semester-based online courses.

The Office of Continuing Education continues to manage telecourse offerings as well. During spring 2006 semester, 13 telecourse offerings served 437 students. As online course offerings continue to grow in popularity, enrollments in telecourses are declining. With recent advances in pod-casting, on-demand video, the Technology, Education, and Copyright Harmonization Act, and effective online learning tools, it is likely that telecourses will be converted to online offerings within the next few years.

2.G.6 There is an equitable fee structure and refund policy.

The University fee structure is equitable to students and is based on such factors as number of credits taken by the student and any extraordinary expenses such as special fees. Tuition setting responsibility is vested in both the University and the Board of Regents. The fee schedule is located at *http://www.acs.utah.edu/tuition/ia-tuit.htm*. University refund policies for both credit and noncredit courses can be seen at *http://www.acs.utah.edu/tuition/ia-refundpolicy.htm* and *http://continue.utah.edu/refundpolicy.php*.

2.G.7 The granting of credit for continuing education courses and special learning activities is based upon institutional policy, consistent throughout the institution, and applied wherever located and however delivered. The standard of one quarter hour of credit for 30 hours or one semester hour of credit for 45 hours of student involvement is maintained for instructional programs and courses.

The granting of credit for continuing education and special learning activities is governed by the same policies as other academic offerings. These policies are included in the

University *Policies and Procedures Manual* and may be accessed at *http://www.admin.utah.edu/ppmanual/9/9-7.html*. The manual notes, "*Credit awarded for successful educational performance should reflect comparable quality and be uniformly defined within an institution, regardless of the methods of instruction used, the time when the course is taught) or the site*." According to the manual, "*A University credit hour shall represent approximately three clock hours of the student's time a week for one semester*." Both instructional programs and courses utilize the standard of one semester hour of credit for 45 hours of student involvement.

With reference to continuing education units, the manual states, "*The national standard for Continuing Education Units (CEU) is ten contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction.*" The University adheres to this policy in all of its continuing education noncredit offerings.

2.G.8 Continuing education and/or special learning activities, programs, or courses offered for academic credit are approved in advance by the appropriate institutional body and monitored through established procedures.

All continuing education and special learning activities, programs, or courses are approved in advance by either an academic department or unit or by the Office of Continuing Education, depending upon which unit is proposing the offerings. The procedures for such approvals are spelled out at both the academic unit level and at the University level. As specified in the *Policies and Procedures Manual*, these processes must be in compliance with Board of Regents' policies. Monitoring and evaluation of such offerings are conducted by the unit responsible for their creation.

2.G.9 Credit for prior experiential learning is offered only at the undergraduate level and in accordance with Policy 2.3 Credit for Prior Experiential Learning.

As was discussed under 2.A.10, the University does not grant credit for prior experiential learning. Students may challenge a course for credit, which involves taking an examination in the identified course. Students with sufficient facility in foreign languages may also earn credit for this prior learning. The *General Catalog* notes that "*Students who have learned a foreign language in a non-academic setting may earn the right to purchase up to 16 lower-division Special Credit hours through special examination or specified course work*." This is the extent of the University's acceptance of prior experiential learning.

2.G.10 An institution offering an external degree, degree-completion program, or special degree has clearly articulated policies and procedures concerning admission to the program, transfer of prior-earned credit, credit by examination (e.g., College Level Examination Program (CLEP) of the College Entrance Examination Board and the institution's own examinations), credit for prior experiential learning, credit by evaluation, and residency requirements.

All of the University's academic programs operate under clearly articulated policies and procedures that govern admission, acceptance of transfer credits, credit by examination, and residency requirements. Prior experiential learning was described above and will not receive elaboration here. Some departments and colleges do operate degree-completion programs. For example, the College of Nursing offers the R.N.-B.S. program, which is designed for nurses holding the registered nurse credential. The admission, curricular requirements and other policies governing this program are described at *http://www.nurs.utah.edu/programs/rnbs/index.htm*.

In addition, the University offers a Bachelor of University Studies major that allows students to design their own academic major. This program requires the student to prepare a proposal that meets certain standards and is reviewed by a faculty committee charged with oversight and approval authority. The program operates under the auspices of undergraduate studies with a full description to be found at *http://www.ugs.utah.edu/bus/*.

The University participates in the College Level Examination Program, and the policies and procedures for earning such credit are described on its Website: *http://www.sa.utah.edu/testing/programs/clep.html.* Examinations are available in 13 areas, ranging from writing to mathematics to science, all of which can be used to satisfy some of the student's general education requirements. Students may also earn advanced placement credits through completion of certain approved high school courses. The policies governing this option may be found at *http://www.sa.utah.edu/admiss/AP.html*, along with those dealing with the international baccalaureate program, military credit, and challenging courses for credit. In every case, the University conducts an evaluation of the student's proposal to ensure its compliance with institutional policies.

2.G.11 When credit is measured by outcomes alone or other nontraditional means, student learning and achievement are demonstrated to be at least comparable in breadth, depth, and quality to the results of traditional instructional practices.

Credit is not measured by outcomes alone or by other nontraditional means. Should the University decide to begin such an effort, it would occur only with assurances that student learning would be comparable to more generally accepted methodologies.

2.G.12 Travel/study courses meet the same academic standards, award similar credit, and are subject to the same institutional control as other courses and programs offered by the sponsoring or participating institution. Credit is not awarded for travel alone. The operation of these programs is consistent with Policy 2.4 Study Abroad Programs, and Policy A-6 Contractual Relationships with Organizations Not Regionally Accredited.

The University's International Studies Office provides leadership and direction for a wide variety of study/travel programs offered by the institution. Options offered include study abroad, summer programs, intensive language and service learning programs, international semester, and international internships. These choices are further described at *http://www.sa.utah.edu/inter/sap/*, which also discusses the services provided by staff within that office. The International Center and the International Studies Board both report to Senior Associate Vice President John Francis who oversees the general education and continuing education program as well as academic advising at the University. This organizational structure and oversight ensures that travel/study courses meet similar academic standards, earn similar credit, and are under the same institutional controls as other academic programs. No credit is given solely for travel. Details on financial aid, scholarships, application process, orientation, and counseling for students contemplating study/travel options are available on the international studies Website shown above. The University of Utah's programs of study/travel abroad conform to Policy 2.4 (Study Abroad Programs) and Policy A-6 (Contractual Relationships With Organizations Not Regionally Accredited).

Analysis and Appraisal

University continuing education and special learning programs have a strong record of meeting the needs for life-long education. Using a combination of centralized and decentralized design and oversight, the programs are responsive to identified opportunities in continuing and professional development. The Office of Continuing Education has an academic program advisory committee made up of University faculty, staff, instructors, and students/ community members who give direction to the division. Noncredit courses are reviewed internally on an ongoing basis to ensure that offerings are in alignment with the strategic goals of the unit, which in turn are aligned with the University's mission and goals. Noncredit courses are regularly evaluated by students, and systems are in place at the unit level to act on the information collected. Academic departments retain oversight for all credit bearing courses, approve instructors, and evaluate the courses.

STANDARD 2.H – NONCREDIT PROGRAMS AND COURSES

2.H.1 Noncredit programs and courses are administered under appropriate institutional policies, regulations, and procedures. Faculty are involved, as appropriate, in planning and evaluating noncredit programs.

As described under 2.G.1, noncredit offerings are administered in the same manner as are other continuing education activities. A large portion of noncredit courses are offered through the University Office of Continuing Education. A list of the courses currently available can be found on their Website: *http://continue.utah.edu/academic.php*. Courses offered are enormously diverse ranging from feminist psychotherapy to kayaking, colloquial Arabic to organic gardening, human sexuality to fly fishing. A rich mixture of courses is designed and offered by faculty within guidelines established by the University and the Board of Regents. The *Policies and Procedures Manual* serves as the guiding document with respect to noncredit courses and programs: *http://www.admin.utah.edu/ppmanual/9/9-7.html.*

In addition to noncredit courses offered through the Office of Continuing Education, other colleges offer noncredit programming that is directed at specific audiences. For example, the College of Social Work offers a summer institute for which participants can be awarded continuing education units. In addition, some courses can be taken for credit or noncredit, depending upon student need. The School of Medicine also operates the University of Utah Continuing Medical Education Program designed to meet the needs of physicians and other health care professionals. Approval and evaluation of such offerings occur within the policies and through the mechanisms of the college proposing the instruction.

2.H.2 The institution maintains records for audit purposes which describe the nature, level, and quantity of service provided through noncredit instruction.

Record maintenance for noncredit instruction is the responsibility of the department that offers the course. Departments are also responsible for evaluating and assuring the quality of such instruction.

2.H.3 When offering courses that award Continuing Education Units (CEU), the institution follows national guidelines for awarding and recording such units which call for one CEU being equivalent to 10 hours of instruction and appropriate to the objectives of the course.

All CEU courses offered by the University of Utah follow the prevailing national guideline for such education. This means that one CEU represents the equivalent of 10 hours of instruction that are directly related to course objectives. This standard is included in the *Policies and Procedures Manual: "The national standard for Continuing Education Units (CEU) is ten contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction.*

The CEU may be the appropriate unit of measurement for qualifying noncredit courses."

Analysis and Appraisal

As noted above, noncredit courses are reviewed internally on an ongoing basis to ensure that offerings are in alignment with the unit's goals and consistent with the University's mission and goals. Noncredit courses are also evaluated by students, and systems are in place at the unit level to act on the information collected. Courses that no longer meet the needs of students are dropped or modified. Continuing education, whether credit or noncredit bearing, is perhaps the most responsive to needs and interests of the consumer.

STANDARD 2 – ACADEMIC UNITS

This section describes and assesses each academic unit within the University. Each department provided a summary of its purpose and a program descriptions. These were then used by college deans to produce a college self-study. College reports address recent significant changes and discuss the extent to which each is meeting its goals and outcomes. These reports were prepared during the summer and fall of 2005.

College of Architecture + Planning

Central Aims and Purposes

The College of Architecture + Planning brings together a community of students, faculty, and staff with a broad range of interests and expertise in creative design, building, planning, computer technology, issues of social and ecological responsibility, and the scholarly study of the history and theory of the built landscape. In this wide range of interests is a common concern for constructing and maintaining the highest quality in our built and natural environments. To this end, the school offers challenging, academically and professionally-oriented degree programs in several related fields, including a professionally accredited program in architecture and a program moving toward professional accreditation in urban planning.

Description

The College of Architecture + Planning is in a state of transition brought about by the naming of new dean in 2002-03, the assimilation of the urban planning program, and the replacement hiring of several key faculty members. The college is currently comprised as a single department college consisting of two academic programs, each with its own degrees, and several active research and community service initiatives.

The undergraduate architecture degree program is intended to educate students with a broad liberal arts education coupled with specific design, communications, technology, and history requirements that partially fulfill the accreditation requirements of the National Architect Accrediting Board (NAAB). Graduates of the B.S. in architecture fulfill about half of the NAAB requirements and are eligible for admission to M.Arch. programs throughout the country to complete a professional degree.

The B.S. and B.A. in urban planning are intended to prepare students to become leaders in their communities, with a liberal arts education coupled with a broad education of the impacts of economic, land use, transportation, and social conditions on cities and regions.

The Master of Architecture (M.Arch.) program, together with its prerequisites, provides the NAAB-accredited professional degree that qualifies a student to begin the process of becoming a licensed architect. The Utah program has the further intention of providing a broad program in theory, construction, technology, sustainability, communication, and history so that students have a background sufficient to lead their communities on public issues.

The Master of Urban Planning degree program is intended to prepare graduates for professional positions in urban planning or public policy in regional and local settings, both private and governmental. This program is designed to qualify for professional accreditation through the Planning Accreditation Board, although the degree program has not been in place long enough to establish candidacy status. Students must specialize in a particular arena, for example, transportation, sustainability, or growth management.

The Master of Science in Architectural Studies is a postprofessional degree program open only to students who already have a professional degree in architecture or a related field. The degree is intended to allow a qualified student to explore a specific self-designed topic in architecture, for example, historic preservation, green architecture, or visual technology.

Descriptions of all degrees and curriculum requirements are available online at *http://www.arch.utah.edu*.

Undergraduate enrollment of the college in 2005-06 is 458 students. Of those, 206 are prearchitecture students who have not been admitted to the professional degree program. Each year, out of about 100 applicants, we admit a class of about 50 architecture students.

We now have approximately 65 urban planning majors, double the number from 2 years ago. This program has not stabilized, being only 2 years in the college and subject to a surge in enrollment that we cannot be sure is permanent. Our long-term intention is to stabilize the program at about 90 majors.

Ninety-six graduate students are enrolled in the college, including 30 in the new Master of Urban Planning program and 65 in the M.Arch. program. The M.Arch. program has competitive admissions, with approximately 84 applications for 33 available places.

In 2005-06, there are 21 full-time faculty, including 5 urban planning professors, 15 architecture professors and 1 professor jointly appointed (the dean). There are 7 women faculty and 4 minority faculty. There are also 17 part-time faculty in architecture and 10 part-time faculty in urban planning. The part-time faculty are professional planners and architects who provide depth and real world experience.

The college is directed by Dean Brenda Case Scheer, who also acts as the department chair. There are six staff members, including a network manager, academic coordinator, shop supervisor, receptionist, development director, and executive assistant to the dean, who also manages the college finances. About 35 students are employed in the college as teaching assistants or shop personnel.

The entire college is housed in a 50,000 square foot building that was built in 1970 and has seen only minor improvements since that time. Facilities include a large gallery, a comprehensive model shop, a photo lab and photo studio, public spaces used for critiques, classrooms, a lecture hall, and faculty, administrative, and staff offices. The majority of space is used for studios.

Closing the Loop: Strengthening Urban Design and Site Planning

The most recent accreditation of the architecture program indicated a need to increase the amount of construction technology that students are required to cover. To respond to this assessment, the college hired a full-time tenure-track faculty member with responsibility for managing of materials and construction classes, and increased and extended course coordination to bring these topics into the studio.

Analysis and Appraisal

The college has established the following assessment measures: retention and progress of students, learning outcomes, student engagement, and meeting program objectives.

Architecture

- *Retention and progress of students*: Routinely, 92-95% of students admitted to the B.S. major in the beginning of their junior year graduated within 3 years, signifying a very high retention and completion rate. Students admitted to the graduate program in the M.Arch. experience 96-100% graduation rates within 3 years for the 2-year, 54 credit hour program.
- *Learning outcomes*: Student learning is assessed through (1) student performance in the comprehensive final design project (master's project and comprehensive senior project) and (2) evaluation of design portfolios submitted as application for graduate programs. All faculty, adjunct architecture faculty, and many local architects participate over several days in reviewing and critiquing student master's projects. Student learning is also assessed through the NAAB accreditation process (see below).
- *Student engagement*: All students in the major and the graduate programs are required to attend a 5-credit hour studio every semester (studio consists of one-on-one and team learning in a specialized setting), often using service learning projects as the basis for design.
- *Meeting program objectives*: The program is reaccredited every 6 years by the NAAB through an extensive self-study describing performance on 12 conditions and 37 student performance criteria, and evaluated in 3-day site visit by NAAB examiners representing the academy and the profession. The NAAB accreditation conditions and procedures can be found at *http://www.naab.org/newsletter1727/newsletter_show.htm?doc_id=235442*. The most recent evaluation (2001) found the department to have one condition not met (social equity) and two student criteria not met (construction technology and site planning). We are required to report on deficiencies annually to NAAB, with the result that faculty diversity and site planning have been removed as deficiencies. We are still deficient in student diversity. We are in the process of preparing a new self-study, due in 2006, in preparation for the 2007 site team visit.

We also use the outcomes from the student progress and student learning assessment, particularly the master's projects reviews, to revisit the effectiveness, rigor and coordination of undergraduate and graduate curricula, which are the subject of an annual retreat of the architecture faculty.

Closing the Loop: Curricular Revisions in Architecture

As a result of an extensive review of studio culture that involved both students and faculty, it became clear that students did not have a satisfactory understanding of social equity issues and their role in architecture. To address this shortcoming, the program created a new required course that will begin in fall 2006. This junior-level course is called "Human Dimensions in Architecture" and will cover cultural material and raise awareness of diverse perspectives.

Urban Planning

- *Retention and progress of students:* Graduation within 3 years after entering the major will be the expectation. Our first cohort of juniors in the major experienced an 86% graduation rate after 2 years. The graduate program is too new to assess.

- *Learning outcomes*: Undergraduate student learning is assessed through performance on the capstone workshop project and internship reports from employers. Graduate student learning is assessed through performance on the individual comprehensive master's project in the final two semesters. Both will also be assessed through independent accreditation processes (see below).
- *Student engagement*: Students are required to participate in a 5-credit-hour service-learning workshop project, where small teams engage with local community clients.
- *Meeting program objectives*: The graduate program is designed to be accredited and will undergo an evaluation for candidacy status in 2007-08 by the Planning Accreditation Board (PAB). The PAB requires a rigorous self-study that evaluates programs under curriculum and resource criteria and in relationship to the program's self-defined goals. See the PAB Website at *http://showcase.netins.net/Web/pab_fi66/documents.htm*. The self-study is followed by a site visit. The program is reaccredited by PAB every 6 years. In addition, job placement rates will be a criterion for program assessment.

The college is evaluated by the Graduate Council every 7 years. During the review in 2003-04, the following were noted as commendations: incorporation of the urban planning program, incorporation of visualization and computer technology, small size of the program, student satisfaction, and community service.

- *Size*: The professional architecture degree program at the University of Utah is one of the smallest state-supported programs in the country, with only 178 students. For comparison, our peer institution, the University of Cincinnati, has 612 students of architecture and the University of Illinois Chicago has 539. In the region, Arizona State University has 540, Idaho has 335, Cal Poly-San Luis Obispo has 784, and Oregon has 1,708. In fact, in size, faculty, degree offerings, infrastructure and facilities, the University of Utah architecture program is better compared to private schools such as Rice, Princeton, and Yale.
- *Student satisfaction*: Perhaps because of our size, the experience of faculty, students and staff is one of an intimate and supportive family. Decision-making is collaborative, with two active student organizations and a college council composed of staff, faculty and students who meet every 3 weeks. According to the program review, "*Student satisfaction is high. The college has a friendly, family-like atmosphere. Faculty-student interaction and student mentoring are strong. The faculty are enthusiastic teachers. Students play a role in many aspects of faculty governance*" (Graduate Council review, 2004).
- *Community service*: The school has worked extensively with the local community. We sponsor symposia about planning and design issues that draw upon more than 300 community leaders and showcase our students. We continue to have excellent relationships with the professional community, evidenced by 15 scholarships offered by local architecture and planning firms. We frequently use local architects and planners as studio reviewers. Students work with the local school districts to create and manage elementary school programs planning and architecture, an endeavor recognized this year with a national award.

Closing the Loop: Improving Urban Planning Final Student Projects

In urban planning, the all-faculty review of the final student graduate projects has led us to a major reconsideration of that portion of the curriculum. Changes are underway to strengthen this critical assessment tool.

We offer several service learning courses, but in addition, architectural design studios assist nonprofit organizations with design exploration scenarios, and planning workshops assist local communities and community organizations. The college has received particular recognition for its design/build program, which is actively building housing on the Navajo Reservation in southern Utah. While addressing the needs of Navajo families, this program demonstrates sustainable building practices and investigates alternative building materials. Eight graduate students each year spend a semester designing and building an energy efficient, desert house for an indigent family. The house built in 2004 won an American Institute of Architects (AIA) Utah Honor award and an AIA merit award from the Western Mountain Region. Supported in part by a Housing and Urban Development grant, the program has been featured in three magazines and in local newspapers and TV coverage.

The college is a major contributor to the University's Westside Initiative. In the urban core of Salt Lake City, groups of planning students working with architecture students are assisting residents in finding solutions for community problems in an innovative off-site studio environment called the Westside Studio. This project has received support through a community partnership grant from the U.S. Department of Housing and Urban Development.

The college has made an extensive commitment to digital currency and is a national leader in digital design technology. Two of our faculty received the only national award given for research in this area and we have the only center for the study of building information modeling in any architecture school in the nation. The college houses the Center for the Representation of Multi-Dimensional Information (CROMDI), an interdisciplinary center that is led by two architecture faculty but incorporates researchers from computer science, psychology, business, fine arts, and health sciences. In the past 5 years, CROMDI has generated over $5 million in research funding from the National Science Foundation, the National Institutes of Health, the Defense Advanced Research Projects Agency, and the National Security Agency. In addition, it has licensed new technology to General Electric. We are currently providing facilities and support for more than $500,000 annually in digital-design related research.

Visualization is also a strong teaching area. The recent Graduate Council review of the college noted, "*The faculty have strong technical skills, especially in visualization and computer graphics. This knowledge is transferred to the students…. Visualization instruction is especially innovative*" (p. 4). For example, one of our graduate students recently had a video animation accepted for exhibition at a prestigious media festival in Florence, Italy.

The school maintains a digital lab with 24 workstations and all relevant software required in architecture and urban planning classes. In addition, the school maintains its own network servers and provides a wireless network. All studios are hard-wired, with each student having a network account, server space, and high-speed internet. Most classes maintain digital Websites for communication, posting, grades, links, etc. Architecture students are required to bring their own computer to studio. Four high-speed plotters and a laser cutter are available for student use, as well as other printers, scanners, and peripherals. All classrooms and review spaces have digital projectors and access to the internet and network. All faculty and staff have computers and software, which are updated by the University every 3 years. In addition, a "rendering farm" has been created for architecture students for high-end animations.

Issues identified in the 2003-04 Graduate Council review include (1) lack of program visibility nationally; (2) lack of student diversity; (3) curriculum; (4) integration of architecture and planning; (5) retention, promotion, and tenure policy; and (6) inadequate space. At this time, the administration and the college have agreed that curriculum, integration of the planning program, and retention, promotion, and tenure policy have been resolved.

• *Visibility*

Both the college and its recent reviewers have appreciated the manner in which the college has made its small size an advantage. At the same time it is recognized that this leads to limited visibility in the national scene, including national rankings (the college is not ranked). The college must focus on increasing its visibility locally, regionally, and nationally. This is addressed in our strategic objectives.

• *Diversity*

Diversity of students lags behind other architecture colleges somewhat, both in gender and minority diversity. Between 2001-02 and 2005-06, the college student body was 26-28% female and 6-8% minority, compared to national norms of 38% female and 18% minority. Our student diversity has not changed in 5 years, despite significant changes in faculty diversity during that same period and the addition of the urban planning program.

• *Facilities*

Space needs have grown rapidly in the past few years due to expanding research agendas, the integration of computer networking into the building, and the absorption of a rapidly expanding urban planning program.

The strategic objectives of the college, created in 2004, address both the strengths and shortcomings of the college and provide a basis for more specific actions. They are:

- Provide intellectual capital to address issues of urbanization, environment, growth, and responsible development in Utah and in international settings with similar conditions.
- Clarify our mission and civic voice to have a larger presence regionally and nationally.
- Gain greater recognition of our program excellence in order to attract students, faculty, and funding.
- Increase the quality and diversity of the student body while holding the size of existing degree programs steady, after full attainment of urban planning student growth and increases for other new degree programs.
- Partner with other colleges on and off campus to achieve research goals and to model student engagement and interdisciplinary approaches, especially in the areas of computer visualization and urban development.
- Seek funding to upgrade facilities to relieve space crunch and provide higher visibility and greater match with our creative mission. Our building is 35 years old and has never been renovated or expanded.

The strategic objectives are reviewed every year in order to set short-term goals. Specific actions planned over the next few years include:

- To improve the college's visibility and recognition of its quality and offerings within its disciplines, a campaign to improve the college profile and student recruiting materials will be developed. The printing and distribution of this college "identity" material will be used to augment the increased number of conference papers being offered together with other publications coming from the college's faculty. Additionally, the college hosted the national meeting of the Association of Collegiate Schools of Architecture in March 2006.

- The college will develop a coherent diversity recruiting and retention program for women and minority students, including a mentoring program. A full-time diversity specialist has been added to the college staff. A fully revamped and more accessible honors track for undergraduate students will increase contact and interaction with students prior to entering the majors and will have an effect on rention. The establishment of a Doctor of Architecture (expected in 2007) will improve graduate recruiting.
- The college will continue efforts to raise funds for the establishment of an advanced media center in the presently unused portions of the old Museum of Fine Arts. The upgrading of this facility so that it may be used for studio and research space will greatly relieve the pressures currently placed on the existing facilities.
- The college will continue to advance its teaching and research agendas through particular focus on the digital design, including the expansion of new degree programs and faculty. A Center for Integrated Design and Construction will be established, and the research agenda of the center will serve as a catalyst for establishing the college as a major center for building information modeling teaching and research.

Summary

Commendations

- The College of Architecture + Planning has taken advantage of strong leadership, cohesive faculty, and intimate size student population to make substantial changes and refocus programs over the past 4 years.
- In particular, the college should be recognized for its effective adaptation and response to rapidly changing conditions in the professions of architecture and planning, particularly in the areas of technology, environment and sustainability, and collaborative practice.
- Within the University, the college is a leader in interdisciplinary activities, participating in or leading research with at least seven other colleges.
- Within the region and state, the college has wide influence and service in sustainability, preservation, smart growth, transportation, urban design, and planning policy.

Challenges

- First, diversity of the student body is critical to creative success but the aggressive actions being taken (see above) are not expected to achieve significant change in a short, 2- to 3-year time span.
- Second, there are wonderful advantages to small size, but there are limitations as well. Many activities that would enrich the program must be foregone simply because there is little manpower to carry them out. So far this has been dealt with by a deep commitment to focusing on priorities.
- Finally, the college has not yet achieved national recognition for its quality programs, in part because of limited size and resources and the limited number of graduates, and in part because of the physical isolation in the U.S.

The action plan suggested above recognizes these challenges while protecting the flexibility and responsiveness that promotes our values.

David Eccles School of Business

Central Aims and Purposes

The David Eccles School of Business mission is to build foundations for business leadership by creating, discovering, and communicating knowledge about leading-edge research and best management practices. By preparing students for the rapidly changing global world of business, and through the synergy of research, education, and service, the David Eccles School of Business strives to be among the most respected business schools in the nation.

Our vision is defined by the experiences of five stakeholder groups:

Students: "*The experience of a lifetime.*" In developing programs and experience-enhanced learning opportunities, the goal of the David Eccles School of Business is to create an educational experience that ranks among the greatest time periods in the life of every graduate.

Faculty: "*A sense of discovery pervades the faculty lounge, halls and classrooms; it is an intoxicating environment*." In hiring, mentoring, and retaining faculty, the goal of the David Eccles School of Business is to provide an environment where discovery and dissemination of knowledge continues to be an exciting and productive experience.

Staff: "*I am proud of what I do*." Staff members are also motivated by a sense of accomplishment and identifiable contributions to educating students and they are critical to the school's success. The goal of the David Eccles School of Business is to hire and retain a professional staff with the skills and resources to be valuable contributors.

Alumni: "*I take great pride in being a David Eccles School graduate, and I enjoy giving back*." The engagement of alumni is critical to the school's current success in building a differentiation strategy of experience-enhanced education. The goal of the David Eccles School of Business is to provide a student experience that will lead to committed alumni and to maintain these important connections during their lifetime.

Community: "*An asset to the state*." The David Eccles School of Business is particularly well positioned to contribute back to the state through the generation of new businesses, by graduating well-prepared employees, and by offering programs to existing businesses that improve their economic performance. The goal of the David Eccles School of Business is to generate a return on investment to the taxpayers who support our students.

In addition to the school's mission and vision, each of our programs has its own mission, strategic goals, and learning assurance goals. These are provided in detail in our recent review report by the Association to Advance Collegiate Schools of Business.

Description

The David Eccles School of Business consists of four academic units: School of Accounting and Information Systems and the Departments of Finance, Management, and Marketing. Each unit has completed its own self-study.

The dean's office includes the dean, who was recently named Vice President of Technology Venture Development and currently has an external and fund raising focus; an academic associate dean; a director of business affairs, who manages day-to-day administrative affairs; an executive assistant to the deans; an office assistant (student worker); an accountant; a marketing/events coordinator; and an administrative manager.

The school's governance structure includes a president and vice president/president elect of the faculty who are elected every year. The president of the faculty is charged with oversight of faculty meetings and is involved in the faculty evaluation and budget process. The president and vice president also serve on the school's College Council, which includes faculty representatives from each academic department, an at-large member, and a student representative. The College Council oversees the standing committees of the school, for each of the academic programs (undergraduate, M.B.A., Executive M.B.A., and Ph.D.) and the school's retention, promotion, and tenure committee. The retention, promotion, and tenure document for the school was last revised in 2006. The revised document requires excellence in research and a high degree of professional accomplishment in teaching and service.

The David Eccles School of Business offers a variety of schoolwide programs -- undergraduate business degrees in accounting, business administration, entrepreneurship, finance, information systems, management, and marketing as well an M.B.A. and fifth year master's and Ph.D. degrees. The recruitment, advising, and placement for these programs are managed primarily through program offices at the school level with coordination with the academic departments through academic program committees and with relevant University resources (e.g., career placement). Each academic department contributes courses to these programs and receives student credit hour-based funding for this teaching. A full description of our degrees can be found in the *General Catalog* starting on p. 87. Overall, there are over 2,500 undergraduate students either majoring or preparing to major in business, including our new freshman admittance program. We have over 600 master's students in the various programs and 52 Ph.D. students. Students in our undergraduate program tend to come from Utah and take jobs within the state. We have worked to attract more out-of-state students to increase the diversity of our student body, but we acknowledge that this is traditionally a local program. Our master's programs still attract the majority of students from in-state, but the number of both out-of-state and international students has been increasing. We believe our program is and will become more attractive to students in other areas of the west, particularly California. These students, while still looking to Utah for careers, are increasingly willing to pursue careers out of state. Our Ph.D. program is truly a national program with students coming from across the country and planning to relocate upon graduation.

Each academic program committee meets at least monthly and oversees their individual programs. The committees consist of at least one faculty member from each department, staff from the relevant program office, and student representatives. These members are appointed by their respective department heads at the start of the spring semester. This timing allows for positive transition and gives momentum for projects that span the summer. The academic associate dean is a member of all academic program committees. These committees are charged with curriculum development and oversight as well as development of learning assurance goals. These groups monitor feedback obtained through various mechanisms to make needed adjustments to the programs.

Significant Changes

- Hired a new dean in 1999 following a national search.
- In January 2005, Dean Jack Brittain named as dean and Vice President of Technology Venture Development.
- Developed experience-based learning opportunities designed to provide every student with a learning experience outside of the classroom. We have a field study program for all M.B.A. students, several service

Closing the Loop: Evening M.B.A. Program

Based on outcomes feedback, the evening M.B.A. program was revamped in 2000 to become the Professional M.B.A. Enrollments increased from ~50 to 160 admitted each year. This program was refocused to provide a unique educational experience for working adults.

learning classes, a tax preparation program for low income individuals, a student run investment fund, and other opportunities.

- Created Utah Entrepreneur Center that provides hands-on experiences for our students and includes Lassonde New Venture Development, Utah Entrepreneur Challenge, University Venture Fund, Launch Pad, and a speaker series.
- Initiated the Smart Start Mentoring program that links individuals from the business community with our students for both in-person and online mentoring. We currently have over 100 community members volunteering to mentor students in person and more than 100 involved in online mentoring. They work with over 200 students every academic year.
- Expanded the quality of our faculty greatly through new faculty hires. As an example, this fall, we hired faculty away from Purdue, Chicago, Northwestern, and Case Western. Our recent hires have degrees from prestigious business programs including Wharton, Michigan, Stanford, UCLA, and North Carolina.
- Increased information technology support and focus as our programs are increasingly using technology for effective curriculum delivery. We have two M.B.A. programs that require students to have laptops. We use Web-based course delivery, and our new building, the C. Roland Christensen Center, has state of the art technology in all classrooms. We have also increased our in-house information technology support to provide a stable network environment.
- Increased fund raising has focused on scholarships and support for faculty. The Emma Eccles Jones Endowment has also been completely funded and is now approximately $20 million. The school's total endowment is approaching $50 million.
- Increased scholarships available; the amount of scholarships available for students at all levels has more than tripled.
- Offered new undergraduate degrees: entrepreneurship and information systems.
- Increased qualifications of undergraduate students with a minimum freshman-sophomore GPA for admittance of 3.3 and an average of 3.5.
- Started new freshman admittance program for fall 2005. This program has 22 students as the pilot with a plan to have approximately 100 students as a steady state. We also are starting a schoolwide Honors Program this fall.
- Created an opportunity program with concerted efforts to increase and retain students from underrepresented groups and to reach out to first generation college students. Albertsons Inc. has taken the lead in funding this initiative and last year's graduation rate for students in this program was over 90%.
- Completed construction of a new building from donations. This building includes six high technology classrooms, a technology resource center, student breakout rooms, a cafeteria, and offices for executive education.
- Hired four new University Presidential Professors, Dr. Hendrik Bessembinder (Finance), Dr. Olivia Sheng (Information Systems), Dr. Abigail Griffin (Marketing), and Dr. Art Brief (Management).
- Started the first Center of Excellence within a business school in the state, the Global Knowledge Management Center under the direction of Dr. Sheng.
- Developed a writing initiative for our upper division undergraduate business students.
- Expanded on a successful Finance Winter Conference concept to start research

conferences in other areas attracting top researchers and Ph.D. students in the fields resulting in successful conferences in financial accounting, strategy (co-hosted with Brigham Young University), new product development, and information systems. Conferences to be added this year include management accounting and managerial economics.

- Received the First Security House, a house in Fort Douglas donated to us to use for international students. This house provides a unique living environment that supports these students through their overall education.
- Began to offer noncredit executive education on a fee basis. This initiative began 2 years ago and is now approaching breakeven. This program should provide needed funds for operation of the school as well as support for faculty teaching in the program. In addition, faculty benefit from the interaction with executives that provides insight into both classroom discussions and research projects.

Analysis and Appraisal

The David Eccles School of Business is accredited by the Association to Advance Collegiate Schools of Business (AACSB), the last review taking place during fall 2004. In addition, each department within the school was also subject to a University Graduate Council review in spring 2005. The University also started a strategic planning initiative during spring 2004. In conjunction with these outside groups, the David Eccles School of Business also has developed its own strategic plan and has continued to refine various assessment mechanisms. A more detailed discussion of our strategic plan can be found in the AACSB report.

The David Eccles School of Business has a thorough process for evaluating both faculty and staff. Tenure-track faculty have formal reviews at the third, fifth, and seventh years as part of their progression toward tenure and every 5 years after tenure. In addition, all faculty are reviewed annually. This review process is conducted by the department head and can often include other senior faculty members and/or members of the retention, promotion, and tenure committee. During the budget process, all faculty are reviewed by the dean's group and the faculty president in consultation with the department chair. This provides ample opportunity for feedback. Several of the departments have a formal mentor process through which senior faculty are connected with junior faculty to provide guidance during their early career stages. We also provide support for faculty research and teaching. We provide faculty with access to databases needed for research through Wharton Research Data Services, and we support their efforts through research assistants and research accounts. We also provide support for faculty in developing their teaching skills. For example, we provide funding for faculty to attend case-based teaching workshops at Harvard.

Staff are also evaluated on a yearly basis by their respective supervisors. Our office manager, who also supports our human resources function, is involved with both developing and overseeing the evaluation process that is used to provide feedback on the past year and to set goals for the future. We currently are working on plans to develop career tracks for staff who wish to progress both through the school and the University as a whole.

We have also used technology in a number of areas to support our assessment process. We have a faculty database that all faculty use to enter information on their research and service activities. Information on their teaching is downloaded from central administration. This database is used to provide data for our AACSB accreditation as well as used internally for annual reviews. The staff will be added to this database next.

We also have a student alumni system that collects information from students when they enter the program, conducts assessments during the program, and will be used for alumni assessments in the future. This system also provides permanent email addresses for our students to increase our ability to communicate with them after graduation.

The school developed and maintains an active process of assessing both our students and our graduates. Examples of our assessment documents can be found at *http://www.obia.utah.edu/2006Accred/soa/index.php*. We have a capstone course in each of our undergraduate majors, our M.B.A. program and also the Master's of Accounting and M.S. in Finance. We also survey current students both while they are in the program and at graduation and conduct routine surveys of our alumni. We also obtain feedback through both survey and in-person from our recruiters and employers. This information is invaluable in our program design and monitoring.

Between 2000 and 2003, we thoroughly examined and updated our M.B.A. offerings. Based on feedback from all the above groups, the Master's Curriculum Committee combined the then 1-year and 2-year day M.B.A. programs into one group. At the same time, new focus was placed on the criteria for admittance into the program as well as the method of course delivery. The result has been a smaller but more highly qualified group of students with better background experience. This has resulted in classroom discussion and interaction that is proving to be highly beneficial to the learning process. We also added a revamped intensive week prior to the start of the first semester. This class provides students with a background to work in teams and culminates with a day-long service project totally organized by the students. We measure this outcome through the increasing quality of our graduates and also the feedback on student exit interviews. For example, during summer 2005, all of our 2-year day students were placed in internships and organizations requested more students. We also placed over 90% of our graduates within 3 months of graduation.

During the same time period, we totally revised what we previously referred to as our evening M.B.A. program. This program, now called our Professional M.B.A. program, was changed to provide an appropriate experience for working students. The program is offered in modules that students can take during the semester so they need to come to campus only 2 nights a week. The structure of the program has also made it possible for students to complete this program in 24 months. In addition, the program has a strong technology focus with all students having laptops to use both in and out of class. The result of this change has been an increase from approximately 50 students admitted each semester to a steady state of about 160 matriculants. These students have a wide range of backgrounds and strong entrance qualifications, making this a very successful program. When it began, the assumption was that students were already employed and would not want career support. As this program has grown, approximately half of the students have expressed a desire for career support. We now have a series of sessions offered at 5:00 PM, the hour before their classes start, to support their networking and career needs.

In addition, we have totally revised the offerings for our Executive M.B.A. program and expanded the quality of the international experience. That program has grown from around 60 (30 per year) students to approximately 120 (60 per year). The entry qualifications and background experience have also significantly increased, resulting in a much richer classroom environment. The Executive M.B.A. program now receives twice as many applications as available slots. This program also has a laptop requirement for all students and uses technology in course delivery and to support student interaction.

In fall 2005, we initiated a program fee for our undergraduate business students. This fee supports the undergraduate program office, technology support, and other student activities support. The concept for this fee came from the Undergraduate Program Committee. Our goal of providing all students with a learning experience combined with the feedback from students and employers indicated that we need to provide more opportunities for these students. The fee allows us to provide career preparation, hands on experiences in student organizations, case competitions, and preparation, among others.

The David Eccles School of Business also looks to outside sources to examine our success. We have had increasing success with various outside ranking groups and continue to rise in our visibility. The school moved up three points to 26th in the *Wall Street Journal* regional rankings this fall. We remained number 7 on the *Princeton Review* for best campus environment in their just released study. In the 2004 *Financial Times*, our Executive M.B.A. ranked 36th in the U.S. and 67th in the world. We are also moving up in the *U.S. News and World Report* with our M.B.A. now ranked 56th. During fall 2005, Dean Jack Brittain was awarded the Best in State for Education for the momentum of the David Eccles School of Business. In a recent study by the University of Dallas, researchers at the University of Utah were ranked eighth in the west in terms of productivity. Our Department of Finance has once again been identified as one of the top 20 such faculty for their research.

In addition to these mechanisms, the school is also in the process of developing a comprehensive Learning Assurance Plan. As part of our AACSB review, we were required to develop learning assurance goals for each of our programs. That process has been completed by the academic program committees and brought to the faculty. During the 2004-2005 school year, we began the process of identifying methods to measure these learning assurance goals and are currently in the process of implementing those measurements. This process will be part of our ongoing assessment and development. A full discussion of the learning assurance goals and the measurement plans can be found in the AACSB review document.

The process of self-study coupled with AACSB and Graduate Council review evaluations has highlighted some of the significant strengths of the David Eccles School of Business. Several of these are noted below.

- Hiring and developing quality faculty with increasing research focus and visibility, as evidenced by the rate and quality of publications in top journals and top conferences.
- Moving from a teaching college to a top quality research environment that still places high emphasis on quality education, as measured by faculty teaching awards, including awards from Wharton, Northwestern, Michigan, and Washington University; increased faculty and student diversity; and 2005 award from Academy of Management for support of diversity.
- Increasing quality of Ph.D. program
- Improving visibility through increased rankings
- Improving the quality of new classrooms in the C. Roland Christensen Center.

Many positive points were noted by the reviewers, but they also identified some areas where we need to improve.

- Coverage of courses by academically qualified tenure-track faculty is low, especially in the undergraduate classes. We acknowledge that this is indeed true. With the growth in our graduate offerings, the undergraduate coverage has suffered. We received support for additional faculty hires for the start of

2005 and also now have faculty teaching in the Executive M.B.A. out of load, freeing up more faculty to teach in the undergraduate program. We recently received approval for an undergraduate tuition differential with the funds to be used directly to hire more faculty to teach in the undergraduate program. This type of differential is becoming standard in business schools and will provide a benefit to students in having more highly qualified faculty both in the classroom and in curriculum development.

- Physical facilities need remodeling.

Even though the reviews of the new classroom building were quite positive, the feedback on three older buildings was not as good. Not only are classrooms outdated, we are extremely short of office space, with auxiliary faculty often sharing offices. As part of our capital campaign, we are in the process of raising funds for a total remodeling of our existing three classroom and office buildings. The remodeling would cost approximately $30 million. We believe this goal is obtainable in the near future.

- Faculty salaries are lower than national norms and there are issues with compression and inversion of faculty salaries. During the budget process for 2004-05, we were able to deal with some issues. We used monies from the latest increase in graduate tuition differential to address salaries most out of line and for faculty we determined were at most risk of leaving. We now have all salaries above the 75th percentile information provided by AACSB. We have been successful in retaining faculty who have been offered positions at other schools by developing a package that combines some raise with other additional support, for example, a professorship. A large part of our capital campaign will be directed towards faculty support, both directly in terms of awards, professorships, and chairs and indirectly in terms of support for research and added support for the Ph.D. program, which provides our faculty with research assistants and other support.

Closing the Loop: Increasing Enrollment in Master's Programs

The David Eccles School of Business recognized the need to increase size of the M.B.A. program (specifically the day M.B.A.) and other master's programs. A larger student body is needed to attract top recruiters to campus and make it economical to provide a better range of electives for students. In response, the school hired a new M.B.A. director charged with increasing the school's visibility, began work on a concentrated marketing effort, redoubled efforts to increase job opportunities for students, and developed some critically located regional boards supported by alumni in respective areas to help attract students and assist with job placement.

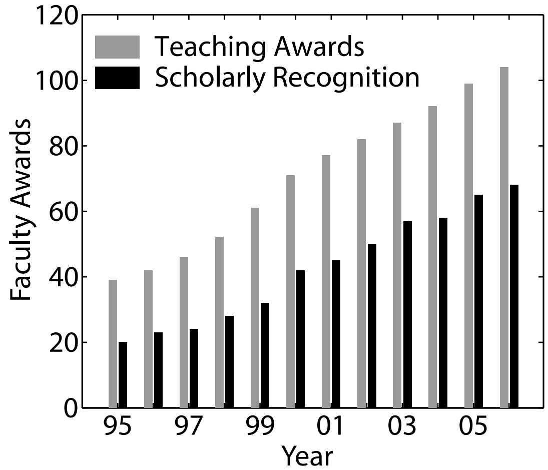
Summary

Commendations

- The David Eccles School of Business has built an exceptional faculty over the past decade. The school had a wave of retirements starting in 1996, and as a result 53 of 74 current full-time faculty have joined the school in the last 8 years. The school has successfully hired scholars who are productive researchers, but who also value teaching. This is evident in Figure 2.2, which shows the school's faculty have continued to receive recognition for teaching, but scholarly recognitions from national professional societies and organizations have more than tripled over the decade.

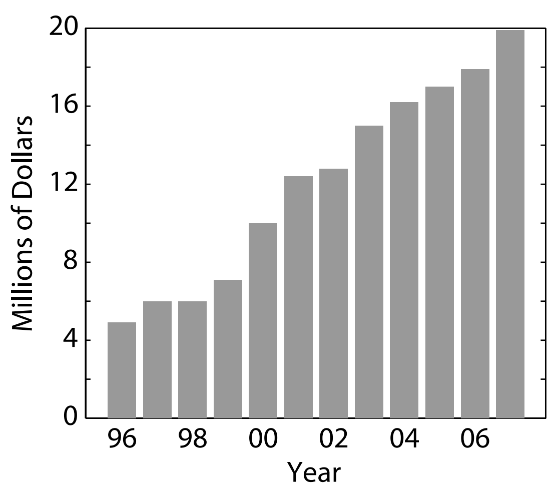
- The David Eccles School of Business has significantly expanded its resources to

Figure 2.2: Total Faculty Awards to David Eccles School of Business Faculty



support a quality faculty and student body. The annual operating budget, which is shown in Figure 2.3, has quadrupled since 1996. This reflects a tripling of scholarships, a fivefold expansion in funds for faculty chairs and professorships, and significant expansion of operating support for the school's degree programs. The expansion of funding has come from the growth of endowments (see Figure 2.4), a dramatic expansion in executive education, and the implementation of tuition differential programs that support faculty retention and hiring.

Figure 2.3: David Eccles School of Business Operating Budget

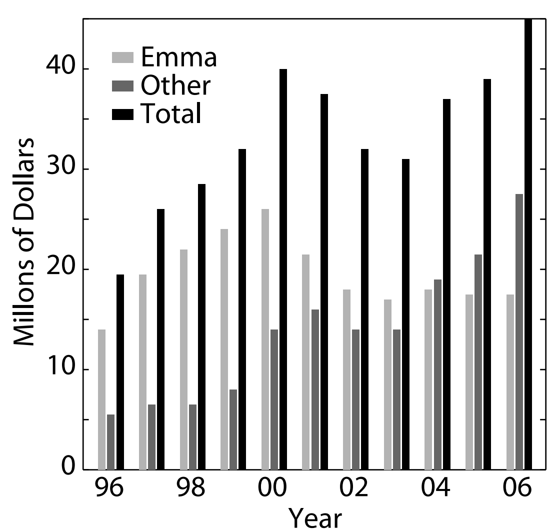


- The David Eccles School has significantly expanded its endowments and added significant resources beyond the Emma Eccles Jones Endowment, which was fully funded in 1997. The expansion of the school's endowments provides a buffer from the volatility that has recently characterized state funding. The growth in endowments is shown in Figure 2.4.

Challenges

- The replacement of retiring faculty with highly productive scholars was expensive in two ways: (1) the newly hired faculty are paid market competitive salaries, which are much higher than the salaries of the faculty they replaced; and (2) the research-active faculty who now are in the majority teach fewer classes per year than the faculty they replaced. So, the school has had the resources to hire exceptional faculty, but the expansion of resources has not been adequate to expand the overall faculty size significantly. This has eroded the coverage of courses by tenure-track faculty, particularly in the undergraduate program. The school is in the midst of implementing a series of

Figure 2.4: David Eccles School of Business Endowment Growth



initiatives that will expand the faculty by 12. Depending on turnover, this new staffing level should be reached in 2008, but it may be 2009 before the faculty size is stabilized again.

- The school's current facilities are worn out and inadequate for the expanding size of the faculty. The school has secured a lead gift of $12 million for a new facility and is in the process of raising matching funds. A process is currently underway to start a combined building remodeling project in 2007 that will completely remake the school's facilities.

College of Education

Central Aims and Purposes

The mission of the College of Education is to create a learning environment that fosters discovery and dissemination of knowledge to promote learning, equitable access, and enhanced outcomes for all students. Through the integration of outstanding teaching, research, and community outreach, the College of Education investigates significant issues impacting educational policy and practice, while preparing its students for leadership and excellence within a diverse and changing educational community.

The College of Education values include:

- Local and national recognition as an excellent educator preparation and professional development institution.
- High quality, nationally recognized research that informs educational policy and practice.
- Diversity of students, faculty, and staff and an instructional emphasis on preparing educators to work effectively with student populations from diverse economic, cultural, racial, and learning backgrounds and abilities.
- Integration of research, teaching, and outreach efforts that serve the education profession, community, and children and youth.
- Education programs, teaching, and advisement that are responsive to the needs of students and the education community.
- Supportive and collaborative relationships among faculty, students, staff, and educational programs within the college.
- Instructional emphasis on using technology to improve student learning and other educational outcomes.

The college's mission and values provide the foundation for comprehensive strategic planning. The strategic planning process is designed to review progress towards achieving goals impacting the college's primary purposes and to establish specific objectives to improve the quality of the college. The strategic planning process is integrally linked to the performance and assessment systems described in later sections of this self-study. The College of Education goals and objectives for 2004-2009 are divided into five broad areas.

- Advance research productivity
- Enhance instructional quality and productivity
- Increase and broaden fiscal resources across multiple funding sources
- Increase faculty and student diversity in order to develop a more multiculturally diverse learning environment within the college
- Enhance the work environment by renovating and expanding Milton Bennion Hall, including technological upgrades, by partnering with the University in aggressively seeking funding from state, private, federal, and internal resources.

Description

The College of Education is organized into five academic departments: Education, Culture and Society; Educational Leadership and Policy; Educational Psychology; Special Education; and Teaching and Learning. The administration of the college includes a 1.0 FTE dean, a 1.0 FTE associate dean for research, a .50 FTE associate dean for academic and student affairs, a 1.0 FTE assistant dean for development, a 1.0 FTE administrative assistant and budget officer, and a 1.0 FTE computer services coordinator. The day-to-day operations of the college are supported by six staff members: two executive secretaries, an outreach coordinator, and three computer resource support persons.

The college dean's offices, departmental main offices, and offices for tenure-track and clinical faculty members are located in Milton Bennion Hall. The college has additional office space in the Annex for staff and graduate research assistants supported on state and federal grants.

Faculty headcount has increased from 55 in 2000-2001 to 60 in 2004-2005. The only department that decreased in headcount from 2000-2005 was Teaching and Learning. Teaching and Learning had seven faculty in 2000-2001 and six faculty in 2004-2005. For a complete listing of enrolled majors by department from 2000-2004, please see the College of Education's full self-study.

Significant Changes

The College of Education has experienced a number of changes since the last review in 1996. The changes that relate to the college's strategic plan are described below. Additional changes can be found in departmental self-studies.

• *Advance Research Productivity*

Efforts to enhance research productivity have included the establishment of the J. George Jones Jr. and Velma Rife Jones Memorial fund, which was founded in 1996 through the generosity of the late Velma Rife Jones. This nearly $1 million endowment to the College of Education was created to fund the development and enhancement of exemplary programs of instruction and research, annual scholarships, and a biennial public lecture to be given by a prominent scholar on a topic of interest and importance to education.

An additional effort to enhance research productivity was the expansion of the College of Education grants incentive program to promote faculty proposal development and to reward faculty who successfully compete for external funding. This program provides a $600 incentive to faculty for submitting proposals and a $1,000 incentive for grants awarded. Expansion of this program included the negotiation of an agreement with the Vice President for Research that provides matching funds from central administration to fund the college grants incentive program.

A third effort to enhance research productivity included the establishment and/or revitalization of college centers. The centers are designed to provide interdisciplinary focal points of activities that promote research and development. These centers include the Center for Reading and Literacy, the Eunice Kennedy Shriver National Center for Community of Caring, the Center for the Advancement of Technology in Education, and the Utah Education Policy Center.

• *Enhance Instructional Quality and Productivity*

A variety of changes have occurred in the College of Education to enhance instructional quality and productivity. These activities include:

- Dividing the Department of Educational Studies into the Departments of Education Culture and Society and Teaching and Learning

- Decentralizing student advising
- Reactivating the undergraduate degree in the Department of Special Education
- Renaming The Graduate School of Education to the College of Education
- Increasing summer school offerings
- Revising the early childhood program from 5 to 4 years
- Establishing a Master of Arts in Teaching in the Department of Teaching and Learning
- Establishing a master's degree program in instructional design and learning technology
- Reviving the learning and cognition program in educational psychology
- Establishing the University of Utah Reading Clinic and receiving ongoing state legislative funding as well as federal funding and numerous local contracts
- Expanding the number of student scholarships
- Complying with the new requirements of Title II
- Maintaining Utah State Office of Education approval of teacher education programs based on National Council for Accreditation of Teacher Education 2000 standards
- Complying with No Child Left Behind standards
- Publishing an annual fact book on the college
- Playing a significant role in the University Neighborhood Partnership by having faculty from the college chair the Youth Education and Success Task Force
- Becoming the administrator of the Intermountain West Advanced Placement Annual Institute for advanced placement K-12 teachers
- Renewing and redefining the Utah Education Consortium (partnership between the college and the five major local school districts)
- Joining the Jordan School District and the Kennecott Land Development in developing educational programs of excellence in the new planned community of Day Break.

Closing the Loop: Increasing Fiscal Resources

The College of Education identified a major need to increase and broaden fiscal resources across multiple funding sources. In order to bring this about, several changes were undertaken. These included securing central administration short-term funding support for a development officer and support through the Office of the Associate Vice President for Diversity. It also involved developing a college advisory board, an annual development activity plan, an annual scholarship recognition luncheon, and a formal development recognition plan, and expanding the number of student scholarships

- *Increase Faculty and Student Diversity Within the College*

Changes to increase faculty and student diversity within the college include:

- Developing a College Diversity Task Force
- Collaborating with the Office of the Associate Vice President for Diversity
- Sponsoring conferences on various aspects of diversity

- Aggressively seeking candidates of color when faculty vacancies arise
- Enhancing scholarships for diverse students
- Receiving federal support to prepare American Indians to become teachers.
- Enhancing the work environment by renovating and expanding Milton Bennion Hall, including technological upgrades, by partnering with the University in aggressively seeking funding from state, private, federal, and internal resources

Changes to enhance the work environment by renovating and expanding Milton Bennion Hall include:

- Reallocating space to place departments and faculty in contiguous quarters
- Building additional faculty offices to accommodate shortages
- Building a new instructional design and educational technology laboratory
- Enhancing Milton Bennion Hall through the purchase of new furniture and fresh paint
- Commissioning an architectural study of Milton Bennion Hall
- Developing a capital facilities improvement plan and fund.

Analysis and Appraisal

The College of Education has a mission statement that links directly to the University's mission statement. Coupled with the mission statement are the collegewide goals that guide the college's strategic planning. Initial development of the college's mission statement and interactions regarding the strategic plan involve faculty through yearly department retreats and planning sessions with the department chairs, College Council Executive Committee (an elected faculty academic governance body), and dean's office staff.

A variety of strategies are used to assess the effectiveness and impact of the College of Education's goals. Data are collected related to (a) faculty research productivity, (b) instructional quality and productivity, (c) faculty and student diversity, and (d) the procurement of fiscal resources across funding sources to provide support for students, faculty research, and the renovation and expansion of Milton Bennion Hall.

• *Faculty Research Productivity*

Faculty research productivity is assessed through an annual department and college analysis of faculty productivity. Information is obtained via self-report of faculty members in the college and is used to (a) determine annual salary increases; (b) inform retention, promotion, and tenure decisions; and (c) provide lines of evidence regarding the extent to which the college is meeting its goal to increase faculty research productivity.

The faculty in the College of Education are very productive scholars. An analysis of the data related to the total and average number of publications across departments revealed that, in 2000-2001, the college faculty had 205 publications with an average of 4.26 publications per faculty member. In 2004-2005, the college faculty had 284 publications with an average of 5.2 publications per faculty member. Thus, there is an upward trend in the number of overall publications as well as the average number of publications per faculty member.

The College of Education faculty's scholarly productivity is also demonstrated by their delivery of scholarly presentations. In 2000-2001, the college faculty delivered 207 scholarly presentations with an average of 4.31 presentations per faculty member. In 2004-2005, the faculty delivered 216 scholarly presentations with an average of 3.96 presentations per faculty member. Although these data do not demonstrate an upward trend, the faculty's productivity in this area is laudable given recent budgetary constraints that make travel to national conferences increasingly difficult.

In summary, the College of Education is making progress in achieving its goal of enhancing research productivity. Future plans to enhance research productivity are discussed in the section dealing with challenges facing the college.

• *Instructional Quality and Productivity*

Table 2.3 provides a summary of degrees awarded across departments from 2000-2005. This table shows an increase in bachelor's degrees awarded across the 5-year period. This increase is due, in large part, to the reactivation of an undergraduate degree in the Department of Special Education. This table also shows a slight increase in the number of master's degrees awarded and relative stability in the number of doctoral degrees awarded from 2000 to 2005. The data suggest that the College of Education is meeting its goal of increasing productivity at the undergraduate level while maintaining productivity at the graduate level.

It is important to note that students who graduated with a bachelor's degree in secondary education are not represented in this table. For these students, the degree is granted through the college of the teaching major.

Tables 2.4 and 2.5 provide a summary of undergraduate and graduate course/instructor evaluations across departments from 2000-2005. As noted by these tables, average undergraduate and graduate student ratings for course and instructor are consistently above the University mean for all departments with the exception of the undergraduate student ratings in Education, Culture and Society. However, further analysis of the student ratings for Education, Culture and Society revealed that the department ratings were within two standard deviations of the University mean for all course/instructor evaluations (range of standard deviation for University undergraduate courses from 2000-2005=.21-.28). These data suggest that most faculty members in the College of Education provide high quality instruction as measured by course evaluations. Future plans related to instructional quality and productivity are discussed later in this self-study.

• *Faculty and Student Diversity*

Faculty and student diversity is assessed through an annual department and college analysis of the number and percent of minority faculty, staff, and students in the College of Education. Information is available through the Office of Budget and Institutional Analysis regarding the extent to which the college is meeting its goal of increasing faculty and student diversity.

Table 2.3 Degrees Awarded Across Departments 2000 - 2005: College of Education

Department	2000-2001			2001-2002			2002-2003			2003-2004			2004-2005		
	B*	M*	D*	B	M	D	B	M	D	B	M	D	B	M	D
ECS	na	0	6	na	8	2	na	6	3	na	8	2	na	na	na
ELP	na	29	5	na	28	7	na	22	6	na	24	8	na	na	na
EDPS	na	14	12	na	23	10	na	23	9	na	46	6	na	na	na
SPED	0	30	2	4	37	1	19	31	0	25	33	4	na	na	na
T&L	49	88	0	55	75	0	74	42	5	71	83	2	na	na	na
COE Total	**49**	**161**	**25**	**59**	**171**	**20**	**93**	**124**	**23**	**96**	**194**	**22**	**na**	**na**	**na**

*B=Bachelor's, M=Master's, D=Doctoral

Note: ECS, Education, Culture and Society; ELP, Educational Leadership and Policy; EDPS, Educational Psychology; SPED, Special Education; T&L, Teaching and Learning (same acronyms used in Tables 2.4 and 2.5)
Source: University of Utah Office of Budget and Institutional Analysis / Department Review by Academic Year

Table 2.4: Undergraduate Course/Instructor Evaluation Means Within Departments and Across the University from 2000 - 2005: College of Education

Department	2000-2001		2001-2002		2002-2003		2003-2004		2004-2005	
	Course	Instr.	Course	Instr.	Course	Instr.	Course	Instr.	Course	Instr.
ECS	na	na	4.97	5.23	4.89	5.16	4.81	5.07	na	na
ELP	na	na	5.49	5.65	5.42	5.68	5.66	5.82	na	na
EDPS	na	na	5.47	5.54	5.47	5.61	5.46	5.61	na	na
SPED	na	na	5.49	5.60	5.20	5.37	5.37	5.48	na	na
T&L	na	na	5.16	5.38	5.21	5.44	5.10	5.31	na	na
University	**na**	**na**	**5.13**	**5.31**	**5.15**	**5.32**	**5.13**	**5.29**	**na**	**na**

Table 2.5: Graduate Course/Instructor Evaluation Means Within Departments and Across the University from 2000 - 2005: College of Education

Department	2000-2001		2001-2002		2002-2003		2003-2004		2004-2005	
	Course	Instr.	Course	Instr.	Course	Instr.	Course	Instr.	Course	Instr.
ECS	na	na	5.24	5.44	5.33	5.42	5.42	5.54	na	na
ELP	na	na	5.52	5.66	5.31	5.55	5.50	5.63	na	na
EDPS	na	na	5.25	5.43	5.28	5.43	5.20	5.41	na	na
SPED	na	na	5.33	5.50	5.24	5.40	5.39	5.51	na	na
T&L	na	na	5.33	5.53	5.11	5.32	5.23	5.44	na	na
University	**na**	**na**	**5.25**	**5.43**	**5.20**	**5.39**	**5.29**	**5.44**	**na**	**na**

A summary of the number of minority faculty, staff, and students from 2000-2004 shows the following:

- The college has had a 13% increase in ethnic minority tenured/tenure-track faculty.
- The college has seen a 2.8% increase in ethnic minority staff.
- Although the percent of ethnic minority undergraduate and graduate students has remained relatively stable from 2000-2004, it is important to note that, in some cases, the number of ethnic minority students has doubled or tripled from 2000-2004 (e.g., Native American/Alaskan Native undergraduate students, Asian/Pacific Islander undergraduate students, Asian/Pacific Islander graduate students). These increases may be due, in part, to increased efforts to recruit and retain ethnic minority faculty and students as well as success in obtaining student scholarships and stipends for ethnic minority students. Future plans related to faculty and student diversity are discussed later in this self-study

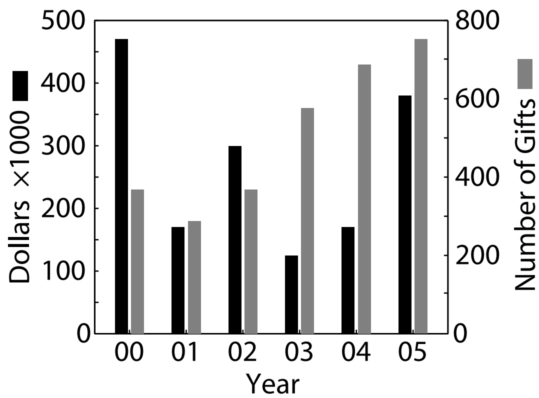
- *Procurement of Fiscal Resources Across Funding Sources*

The procurement of fiscal resources across multiple funding sources is assessed through an annual college analysis of the number and amount of gifts received as well as an analysis of the number and amount of student scholarships. Information regarding gifts is obtained through the College of Education Alumni Database. Information regarding scholarships is obtained through the College of Education Scholarship Database. These data are used to help assess the extent to which the college is meeting its goal of increasing the procurement of fiscal resources across funding sources.

Figure 2.5 provides a summary of the number and amount of gifts received by the College of Education from 2000-2005. This figure reveals a substantial increase in the number of gifts received and suggests that the college is meeting its goal of obtaining resources from multiple funding sources.

Data were also analyzed to examine the number of scholarships received by students in the College of Education in 2000 and in 2005. The analysis revealed that 12 new student scholarships have been procured by the college since 2000. This increase, combined with scholarships that existed prior to 2000, resulted in 98 scholarships totaling $368,074 being awarded to students in the College of Education.

Figure 2.5: Amount and Number of Gifts 2000-2005: College of Education



Summary

Commendations

In summary, the College of Education is in a very strong position. The quality of the faculty and the programs is exceptionally high. For example:

- In 2005, the *U.S. News* and *World Report* ranked the University of Utah College of Education 70th in the country,
- The programs in Educational Leadership and Policy and Special Education were ranked 13th and 19th, respectively
- Most programs have been revised since the last review, and all teacher education certification programs are fully approved by the State Board of Education.

Furthermore, the quality of our student body is high. For example:

- The 2005 graduates of the College of Education teacher education program performed extremely well as a class on the newly state-mandated PRAXIS II Principles of Learning and Teaching exam.
- One hundred percent of University of Utah early childhood teachers, 98% of elementary teachers, and 98% of secondary teachers passed the test at the required state level the first time they took the examination.
- In addition to meeting the basic standards for performance as identified by the Utah State Board of Education, 44% of elementary teachers and 33% of secondary teachers received "Recognition of Excellence" status from the Educational Testing Service for scoring in the top 15% in the nation on the test.

Challenge with Plans for Improvement

In spite of the overall quality and productivity of the College of Education, there is room for improvement in several areas. The college has

Closing the Loop: Enhancing Facilities for Students and Faculty

Both internal and external reviewers have recognized the need for enhancing the physical facilities used by the college students and faculty. In response to these assessments, the College of Education undertook a variety of steps. The first major step was revision of a development plan that now includes a focus on (a) an annual fund plan (e.g., annual fund letter and annual report to previous donors, letter to individuals who donated last year but not in the current fiscal year, phonathon, etc.), and (b) a major gift plan (e.g., identifying local and alumni sources, developing and defining giving opportunities, developing college campaign documents, and furthering existing relationships). The second step was preparing a proposal for a new college structure/wing as well as renovation of the current building. The goal is to begin construction of the new structure in 2007 and to renovate the existing structure in 2012.

developed and utilizes an assessment system that creates opportunities for continuous improvement. Specifically, the assessment data described previously are reviewed annually in department retreats and planning sessions with the department chairs, College Council Executive Committee, which is an elected faculty academic governance body, and dean's office staff. This annual review of data and subsequent discussion is used to establish strategic planning goals and objectives for the upcoming academic year. The assessment data described above resulted in the following plans for improvement for the College of Education.

First, in the area of advancing research productivity:

- The College of Education is committed to the establishment and/or revitalization of the college centers. Centers have now been established in reading and literacy, the community of caring, the advancement of technology in education, and educational policy.
- Future efforts include raising funds to facilitate center activities and identifying a director for each center who is responsible for creating synergy among faculty members and facilitating interdepartmental collaborations.
- The goal is to begin fundraising efforts in 2007 and identify directors by 2010.

Second, in the area of enhancing instructional quality and productivity:

- The College of Education is committed to increasing the accessibility of courses to our students. This includes the development of online courses and increased summer school offerings. Online courses are currently being developed and efforts to increase summer course offerings are underway.
- The College of Education is also committed to maintaining compliance with Title II and No Child Left Behind while concurrently seeking accreditation of its teacher education programs through the Teacher Accreditation Education Council by 2009.

Third, in the area of increasing faculty and student diversity, the College of Education will continue concerted efforts to attract and retain faculty and students from minority populations. Efforts in this area include:

- Soliciting ideas and suggestions from the College Diversity Task Force at applicable task force meetings,
- Aggressively seeking candidates of color when faculty vacancies arise, and
- Enhancing scholarships for diverse students by 2009.

Finally, multiple priorities have been established in the area of increasing and broadening fiscal resources across multiple funding sources to support students and faculty as well as to provide funds to renovate and expand Milton Bennion Hall. A development plan has been revised and includes a focus on:

- An annual fund plan (e.g., annual fund letter and annual report to previous donors, letter to individuals who donated last year but not in the current fiscal year, phonathon, etc.)
- A major gift plan (e.g., identifying local and alumni sources, developing and defining giving opportunities, developing College of Education campaign documents, and furthering existing relationships)
- The planning process for expansion and renovation of Milton Bennion Hall. This includes a proposal for a new College of Education structure/wing as well as renovation of the current building. The goal is to begin construction of the new structure in 2008 and to renovate the existing structure in 2012.

College of Engineering

Central Aims and Purposes

The mission of the College of Engineering is to prepare students for leadership positions and professional practice in academia, industry, and government; to improve the productivity, health, safety, and enjoyment of human life through leading-edge research; and to stimulate growth in the economy of the State of Utah by providing qualified engineering professionals and by transferring technologies developed in the College of Engineering to the private sector. In support of this mission, the college provides a comprehensive educational experience at the undergraduate and graduate levels that promotes and nurtures engineering science and its applications through educational programs, research, and public service consistent with the broad mission of the University of Utah. The College of Engineering is committed to improving the quality and quantity of its undergraduate and graduate degree granting programs, and augmenting the quantity and scope of its research activities. Our goal is to bring the quality of teaching, research, and service to a level comparable to that of the best engineering schools in the world.

Description

From an organizational standpoint, the college consists of a college-level administration and seven academic units including the Departments of Bioengineering, Chemical Engineering, Civil and Environmental Engineering, Electrical and Computer Engineering, Materials Science and Engineering, and Mechanical Engineering, and the School of Computing (see organizational chart in College of Engineering Self-Study appendix). Degrees are offered at the baccalaureate, master's and Ph.D. levels. For the most part, the educational programs are offered on campus during daytime hours. A cooperative educational option for technical elective credit is offered at the undergraduate level. The college recently completed accreditation review under Accreditation Board for Engineering and Technology (ABET) regulations (2003-2004 cycle), which focuses on maintaining continuous quality improvement. All programs were given full-term accreditation. The biomedical engineering program is the newest baccalaureate program and is scheduled for ABET review in the 2006-2007 academic year. The undergraduate program in Computer Science is not ABET accredited.

In academic standing, the College of Engineering is Utah's highest ranked engineering college. The Department of Bioengineering is consistenly ranked in the top 20 nationally and the School of Computing is currently ranked 29th. Other outstanding niches that have earned an international reputation include the Scientific Computing and Imaging Institute, the Institute for Combustion and Energy Studies, the Energy and Geoscience Institute, as well as a number of smaller research centers such as the Keck Center for Tissue Engineering.

The college-level administration consists of the dean who works with two associate deans, all of whom have primary appointments in one of the academic units within the college. The deans are responsible for academic affairs including such areas as recruitment and retention of students, curriculum assessment and improvement, course evaluations, articulation of courses within the state, and oversight of student grievance issues. They represent the college on several University committees, manage the outreach and diversity programs, are responsible for student advising, direct the Honors Program, and oversee the development of a living and learning community. In addition, they share responsibility for oversight of all aspects of research including conflicts of interest, cost sharing, hiring of faculty, start-up packages, research space, interdisciplinary program development, mentoring faculty, and retention and promotion of faculty. The dean is supported by an executive assistant, executive secretary, and office secretary. The dean's office is supported by a director and staff of external relations and development (four), and an assistant dean of budget and facilities (three). The dean's office is also served by the director of computer and networking services and staff (three), which supports the college of engineering in its educational and research mission. In addition, the director of the Nanofabrication Laboratory and the lab's administrative staff (three) are managed by the dean.

The College of Engineering is supported in its mission by the advice and counsel of two advisory boards: the Engineering National Advisory Council (ENAC) and the Industrial Advisory Board (see College of Engineering Self-Study appendix for list of members). ENAC is made up of industry leaders from around the country, including many alumni who contribute their national perspectives to the college's long-range planning and program development. ENAC meets twice each year to advise the deans and faculty on current trends and changes in the global market that may impact engineering education. The Industrial Advisory Board provides a more regional perspective composed of company leaders along the Wasatch Front who meet throughout the academic year to shape strategic objectives and advise the deans on the quality of curriculum, workplace readiness, and regional market developments. As advocates for the college, these volunteers are an essential component of the college's commitment to continuous quality and help calibrate the educational process and its multiple products.

In addition to teaching, all professors are expected to engage in research and service. The differences in specific responsibilities are determined by the respective department chairs and the needs of the unit. Regular faculty meetings are held approximately once a month to discuss important issues and challenges facing each department. The meetings are used to build consensus and to work through issues confronting the academic unit. Once a year, the faculty holds a retreat to review and evaluate progress toward strategic objectives, as well as plan the next year's tactics. Matters of a more routine nature are communicated among the faculty through e-mail. All decisions of substance are put on record in the form of meeting minutes. In addition to the formal meetings, extensive informal interactions take place through office visits and individual discussions at social, professional, and informal gatherings.

The department chair administers the department budget, assigns workloads to faculty, directs the development and outreach efforts, administers space, oversees safety, has input in faculty retention, promotion, and tenure, and signs all academic, personnel, budget, and other administrative paperwork.

The major tasks of the department are subdivided into a committee structure staffed by the faculty. Typically, the undergraduate committee, headed by the director of undergraduate studies, is responsible for oversight of curriculum and assessment, student labs, scholarships and loans, co-op, clinic, short courses and industrial relationships, student professional and academic organizations, and academic and career advising. A graduate committee, headed by the Director of Graduate Studies, is responsible for upper level curriculum development and assessment, student advising, and graduate student and research seminars. Each academic department is responsible for its own system of advising. Faculty involvement varies by department. In general, each department has a full-time professional advisor. Most also have faculty advisors and some use alumni to support advising. In addition, the college supports departmental level advising of undecided and high achieving students with several academic coordinators employed by the Office of Academic Affairs. All departments use an academic advising handbook, which describes the program requirements and suggests a program of study. These documents are posted on the Web for easy access by students. For a handbook example, see *http://www.bioen.utah.edu/education/undergraduate/UG_Handbook.pdf*.

All departments have specialty areas of research expertise that create educational opportunities at the undergraduate level. For example, in chemical engineering, students may choose an emphasis in one of the following: environmental and waste engineering, process control, fuels, applied mathematics and physical sciences, biochemical engineering and living systems, management, and materials and nuclear engineering. Each department is responsible for teaching undergraduate and graduate level courses in their specialty areas of engineering expertise. In addition, the faculty are responsible for submitting new research proposals, conducting scholarly research, and supervising graduate student training. In addition, they serve on departmental, college, and University committees, as well as local, national, and international review panels and committees. In addition to the full-time faculty, the departments utilize part-time or adjunct faculty who make valuable contributions to the academic programs by teaching selected courses.

Significant Changes

During the past decade, the growth of the College of Engineering educational and research programs has created unprecedented pressure to develop and acquire new facilities. In 1996, the college acquired approximately 3,500 square feet in the newly finished Intermountain Network and Scientific Computing Center. In 1997, the College of Engineering dean's office, several research groups, and the Utah Traffic Center moved into the Kennecott Building to alleviate crowding in other college buildings. Over the next several years, additional space was acquired in the Kennecott Building and over $1 million in upgrades were completed. These changes improved base infrastructure and facilitated the move of approximately half of the Department of Mechanical Engineering faculty into the building, along with research and teaching labs and the College Advanced Manufacturing Laboratory. The net increase in assignable space was approximately 26,000 square feet.

A former storage building (Engineering Studies Building) was renovated to house a wind tunnel teaching and research facility, adding an additional 11,000 square feet to the facilities base. In 2001, the governor challenged the Utah Higher Education System to double the number of engineering and computer science graduates. At the time, this seemed an ambitious goal, but the University of Utah and College of Engineering have been leading the initiative and have significantly increased the number of engineering graduates. The college also added new faculty and completed a $5 million renovation of its 45-year-old primary engineering building, the Merrill Engineering Building.

In addition, research space was acquired in Salt Lake City (25,660 square feet) for a combustion research group, and the Center for Engineering Design moved from the Merrill Engineering Building to the University's Research Park (10,300 square feet). The Department of Bioengineering moved its administrative offices to the Biopolymers Research Building in the summer of 2005, to make space available for research and student support in the Merrill Engineering Building, bringing the total presence in the relatively new Biopolymers Research Building to approximately 20,500 square feet.

In the fall of 2003, with support from a $1.1 million grant from the William and Flora Hewlett Foundation, the College of Engineering, in collaboration with the College of Humanities, developed the Center for Engineering

Leadership as a part of a program called CLEAR (Communication, Leadership, Ethics, and Research), an interdisciplinary endeavor to enhance undergraduate engineering education. The goal is to prepare engineering graduates to occupy positions of leadership. Members of the center work with faculty and students to improve the communication abilities of engineering undergraduates, including speaking, writing, and interpersonal skills. Communication instructors offer consulting services, engage in curriculum (re)development with engineering faculty, lead class discussions and activities, and work one-on-one with students to enhance their communication competence and provide feedback on communication experiences.

The center has a communication lab available by reservation to provide students the opportunity to practice presentations, conduct team meetings, and receive feedback on completed oral and written communication assignments.

Closing the Loop: Preparing Ethical Students

The challenge of preparing professionals who understand the ethical issues inherent in the decisions they make is consistent with one of the educational goals of the College of Engineering, namely to facilitate understanding and appreciation of ethics. To accomplish this goal, the College of Engineering and the Department of Philosophy collaborated in the development of an undergraduate ethics course specific to engineering applications. Philosophy 4540, "Engineering, Ethics, and Society," includes many practicing engineers and engineering faculty as guest speakers. In addition, one teaching assistant in the Center for Engineering Leadership works with students one-on-one to hone their development of a sophisticated understanding of ethical principles.

Equipment available to aid the learning process includes digital camcorders, projectors, and laptops, all of which are available by reservation.

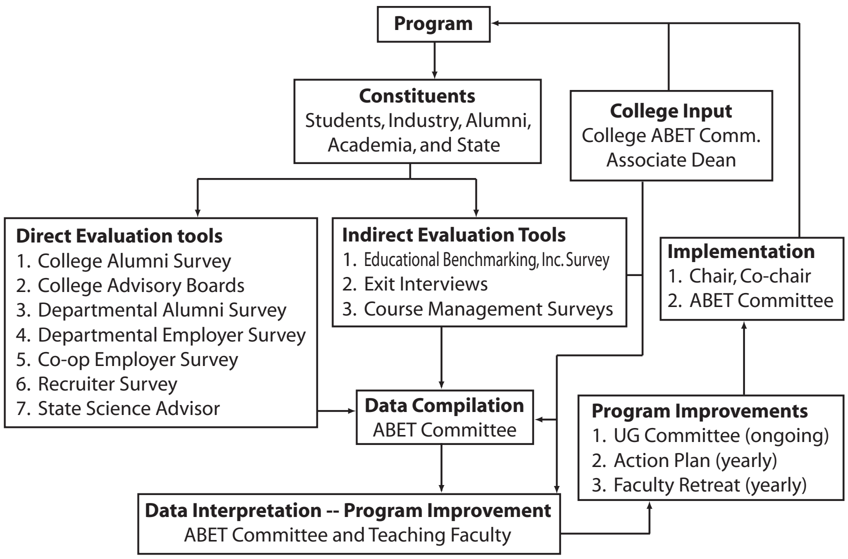
In the summer 2004, Dean Gerald B. Stringfellow, Ph.D., stepped down. After a national search, Richard B. Brown, Ph.D., was hired as dean of the College of Engineering.

Analysis and Appraisal

A major goal of the College of Engineering is the continuous improvement of its undergraduate and graduate curricula to assure alumni success. Quality education is a strength of the college. All college programs are subject to regular review. At the undergraduate level, the ABET review process is used for all programs except computer science, and at the graduate level the Graduate Council review process is employed. Both use external faculty as peer reviewers. In general, input and suggestions for improvement of the educational experience come from students, advisors, external constituents, and the faculty. Within each academic unit, the Undergraduate and Graduate Committees have primary responsibility for evaluating suggestions from the constituents. The committees often approve minor changes without consulting the entire faculty. Major changes are taken to the faculty as seconded motions for discussion and approval.

The general method used by all College of Engineering departments to improve the educational process is outlined in Figure 2.6. The process is initiated with identification of the main constituents of each program and then the educational objectives are developed to serve the constituents. Program outcomes are determined and a clear relationship between the objectives and the outcomes is established. Next, outcome assessment is performed using objective evaluation tools including course management surveys, student exit interviews, feedback from the College Industrial Advisory Committee, the College Alumni

Figure 2.6: College of Engineering Process for Educational Improvement



Surveys, Recruiter Surveys, Web-based Alumni Surveys, Web-based Employer Surveys, and the Educational Benchmarking, Inc. Engineering Exit Assessment Educational Benchmarking Survey.

In an attempt to share best practices, major findings of each department are discussed at regular college-level ABET committee meetings, which include representatives of each academic unit and the college associate dean for academic affairs. Details of the process and major findings for each department can be found in the ABET documentation on file in the Office of Associate Dean for Academic Affairs. In 2004, the college completed accreditation review under the ABET 2000 regulations, which focus on maintaining continuous quality improvement.

Undergraduate Education

The reputation of the college, its faculty, and research programs helps attract and retain high quality students. Over the past decade, undergraduate student recruitment has received greater emphasis within the college, with K-12 programs and recruiting activities occurring at department and college levels. Other ongoing efforts also contribute to this goal, such as improved departmental and college Websites to allow remote access to program information and application materials. Unless otherwise indicated, the numbers reported in the following data summary tables were taken from the University of Utah Office of Budget and Institutional Analysis Website (*http://www.obia.utah.edu/*). The year indicated at the top of each column represents the end of the academic year so a column designation of 2000 represents the academic year beginning in the fall of 1999 through the spring semester of 2000 and so on for each academic year of the 6-year period.

Over the past 6 years, student enrollment at the undergraduate and graduate levels in the College of Engineering has increased at a rate above the national average. Undergraduate enrollment increased from the 1999-2000 academic year through 2001-2002 academic year over 60% and has remained relatively stable at this level. Graduate enrollment also increased through the 2002-2003 academic year by a little more than 30% and appears stable. A 3-year running average indicates that total student enrollment has steadily increased over this time interval.

As a result of the increases in student enrollment in the undergraduate and graduate programs, the college experienced a significant growth in degree production as evidenced by an increase in B.S. degrees. The biomedical engineering program, which began in the 1999-2000 academic year, has started to yield degrees with an expected steady-state produc-

Closing the Loop: Improving Chemical Engineering Instruction

The College of Engineering gathers data in yearly cycles, and the ABET committee of each department compiles and analyzes the data, identifying areas for improvement. As a result of exit interviews and consultation with external advisors, the faculty found that two of their design courses needed modification including a need to add more training in economic issues and in the use of simulation software. To address this deficiency, the instructor added more economic background and a case study to Design I, the first course in the sequence, and included more instruction on the use of computer simulation software in Design II, the second course. At the end of the following year, in exit interviews with students, the department found that the students sought improvement with the manner in which teamwork was managed and suggested improvements in the overall coordination between the two design courses. In response, the instructors got together and charted a design path from Design I through Design II that showed where the students were heading and described the outcome and expectations. In addition, continued iterations emphasized economic issues and provided more explicit training in working in teams. In this way the cycle is repeated, resulting in incremental improvement in the quality of individual courses that sum to improve the educational programs.

tion of 50 degrees/year. All of the departments have increased B.S. degree production since the 1999-2000 academic year. The college attracts a significant fraction of the University's high-achieving high school and transfer students. This is reflected in the fact that generally greater than 35% of the graduating students with B.S. degrees have a GPA at graduation of 3.4 or higher. Table 2.6 shows the demographic breakdown of the College of Engineering's undergraduate student body over the last 6 academic years. The data indicate an increase in Asian, Hispanic, nonresident alien, Caucasian (non-Hispanic), and female students and no clear changes in the African American, and Native American representation.

A goal of the college, consistent with the mission of the University, is to increase diversity and work toward a student body that reflects the makeup of our regional community. A study completed in fall of 2004 by the College Academic Affairs Office concluded that the majority of students who enroll in the college are from Salt Lake County high schools. When comparing current enrollment with the demographic breakdown of this region, it becomes clear that only in the group Asian American/Pacific Islanders does the college come close to recruiting a percentage comparable to our catchment area. This is true for both people of color and women.

To enhance the number of K-12 contacts, a 13-student volunteer group has been added to this effort to serve as ambassadors for the college. A training program developed by the outreach and diversity coordinator focuses on oral communication and presentation skills. These engineering ambassadors amplify the college's ability to interact with prospective underrepresented students by visiting mathematics, engineering, science achievement clubs and other organizations within our community to encourage underrepresented students to pursue engineering degrees.

Also in an effort to provide a safe and supportive environment, the College of Engineering provides financial and administrative support to such organizations as Society of Women Engineers and the Society for Ethnic

Table 2.6: Undergraduate Student Demographics: College of Engineering

	2000	2001	2002	2003	2004	2005
Asian	61	80	98	88	112	115
African American	3	7	6	9	4	2
Hispanic	17	44	60	58	72	77
Native American	4	9	8	13	12	9
Nonresident Alien	54	126	157	146	130	114
Other or Unknown	245	325	303	272	195	149
Caucasian (non-Hispanic)	936	1383	1529	1611	1639	1668
Total	**1320**	**1974**	**2161**	**2197**	**2164**	**2134**
Percent Female	**12.8**	**10.9**	**13.4**	**12.3**	**11.6**	**11.9**
Female	169	215	289	271	250	253

Student Engineers. In addition, in an effort to support our Latino students, we are establishing a chapter of the Society of Hispanic Professional Engineers. These organizations provide important social and academic support for their membership and will support our goals of enhancing underrepresented student recruitment.

The College of Engineering also hosts two outreach programs specifically for prospective underrepresented students. Hi-GEAR and Hi-TECH are interactive, multiday summer programs that expose female and ethnic minority high school students to different engineering disciplines through demonstrations, hands-on activities, and interactions with faculty and students. Ongoing support, advising, and financial aid resources are provided to these participants throughout the year. Through specially designed outreach efforts, the College of Engineering has successfully cultivated a relationship with area urban high schools and has participated in programs in which our undergraduate and graduate engineering students tutor, mentor, and instruct underrepresented students in math, science and preengineering concepts. Our goal is to build upon these efforts through amplifying the volunteer efforts of our students and alumni.

Recent population projections suggest that the Hispanic population will continue to grow in the Salt Lake region, making this group, in particular, a target for our recruiting efforts. A recent development of the Office of Outreach and Diversity in the college targets support, retention, and community building through a college newsletter called the *Pipeline*. The *Pipeline* is created and distributed regularly and provides students with information about scholarships, internships, jobs, upcoming events, and student organization activities.

Student quality is important to the College of Engineering. Table 2.7 shows the percentage of high-achieving students enrolled in our freshman engineering classes.

Our goal is to sustain and increase this level of quality. Toward this end, development efforts have focused on increasing undergraduate scholarships. In 1999, the college initiated the Engineering Scholars Program. The focus of the Engineering Scholars Program is the engagement of first year undergraduate engineering students in research opportunities. This early exposure to the research environment enhances the students' educational experience and better prepares future engineers for positions in industry, government, and advanced graduate training. The goal is to leverage the exciting engineering-based research at the University by exposing first year students to research activities. The addition of this component enriches the first year student experience. It also strengthens research programs as the students have the opportunity to participate at an early stage in their academic careers.

An additional part of this ongoing effort is a newly created Engineering Honors Program, the only one of its kind in the State of Utah.

Table 2.7: High Achieving Freshman Enrollment: College of Engineering

	2001	2002	2003	2004	2005
% Admission Index 120 or above	38.5	36.5	27.6	31.1	38.6

This program is designed to provide a challenging, individualized educational experience to high achieving students and to promote life-long learning. The objective is to challenge top students by offering them access to more advanced levels of study, to facilitate the fullest possible use of their creative abilities, to encourage a sustained interest in advanced education and basic research, and to foster leadership and fellowship within the engineering community. For more information on the Engineering Honors Program see *http://www.coe.utah.edu/current/UG/Honors_in_Engineering*.

Graduate Education

Master's degree production has increased over the past 5 years and Ph.D. production has remained steady (Table 2.8).

An analysis of student credit hour distribution over the same time period suggests that an increase in Ph.D. numbers may be on the horizon as student credit hours at the 7000-7999 level have increased in 2003 and 2004.

Strengthening and developing the Ph.D. programs is a college goal and will require increasing the quantity and scope of research. Research expenditures are currently at $35.6 million, up from $33.3 million in 2000.

The data indicate that the level of funding has remained relatively steady. Major changes in the way in which the University deals with intellectual property will likely result in increased industrial contracts for research and development. In addition, during the 2005 legislative session, the State of Utah, through the Utah Science, Technology and Research Initiative, promised an additional investment in University research programs with a goal of establishing new technology clusters. Built around existing University strengths, these clusters are intended to become the focus for translational research leading to rapid commercialization of technology. The College of Engineering was awarded one of these clusters, which includes four new faculty positions in strategic areas such as homeland security and information technology. The goal is to recruit several nationally known faculty members who will help to catalyze research growth in these areas and then leverage these new positions with replacement hires for retiring faculty.

Table 2.8: College of Engineering Graduate Degrees Granted

	2000	2001	2002	2003	2004
Master's	**80**	**73**	**97**	**93**	**169**
Ph.D.	44	31	30	35	34

Faculty

With an increase in base budget resulting from legislative appropriations to the College of Engineering, we have added 12 faculty since 2000. A college goal is to attract, hire, develop, and retain excellent faculty. We have been successful in hiring excellent faculty from large, competitive applicant pools. Most of the hires have come from internationally recognized universities or research institutes. Competitive startup packages have been available for all of our new faculty hires. Space is limited and is restricting our research growth potential.

Total student credit hour production for the college has risen steadily and is up 32% from the 1999-2000 academic year. Undergraduate student credit hour production by department has increased steadily over the past 6 years. However, undergraduate student credit hour production per instructional FTE over the past 6-year period has remained relatively constant when looking from a college-level perspective. Graduate student credit hour production per instructional FTE over the past 6-year period has increased per FTE by about 50%, which is in line with our strategic objective of increasing College of Engineering graduate productivity and which should increase our national recognition as a research college.

Table 2.9 summarizes the research expenditures per instructional FTE over the past 6 years, which shows a steady increase up 41% from the 2000-2001 academic year. Our goal is to increase this number to approximately $400 K/FTE over the next 5-year interval.

The strengths of the College of Engineering include delivering a high quality undergraduate and graduate engineering education and the ability to attract and retain excellent faculty. The research expenditures per FTE have steadily increased to last year's highest level of $338,000 dollars/FTE. Our goal is to increase this figure over the next 5-year interval and steadily improve recognition at the department level. The increase in research is reflected in an increase in graduate student FTE/ instructional faculty FTE. Collegewide, our goal is to increase Ph.D. level training, which has remained relatively flat. At present all of our growth in graduate training has been at the M.S. level. As a testament to our productivity gains, the college is moving up in the rankings. At present, our primary challenges include increasing faculty research productivity, the number of underrepresented students (scholarships and recruiting), diversity among our faculty, and space for research. The latter is currently being addressed with new building projects and capital campaign initiatives.

Summary

Commendations

- The college has experienced a substantial increase in physical facilities over the past 10 years, reflecting changing technological needs, pressure to double the number of engineering and computer science graduates, and other factors.
- In cooperation with the College of Humanities, the College of Engineering developed a Center for Engineering Leadership to prepare future graduates with the skills needed to succeed in an ever more complex society.
- Continuous assessment efforts conducted by the college have led to substantive changes in curricula and teaching.
- The college engages in ongoing efforts to improve recruitment of women and people of color to the engineering field.
- A steady increase in research expenditures per full-time equivalent instructional faculty over the past 5 years has helped attract and retain excellent faculty and students.

Challenges

- The college must continue its efforts to increase faculty research activity.
- Continued efforts to recruit and support underrepresented students are needed if the college is attain its goals.
- Space needs for research in the college will continue unabated into the foreseeable future.

Table 2.9: Research Expenditures per FTE: College of Engineering

	2001	2002	2003	2004	2005
Dollars in thousands	239	278	315	318	338
Percent change from 2000-2001		16	32	33	41

College of Fine Arts

Central Aims and Purpose

The College of Fine Arts is dedicated to the advancement, practice, and understanding of the arts, as well as the preservation of artistic legacy and innovative artistry. It provides an arena where both liberal arts and conservatory programs flourish. The departments prepare their majors for professional performance and creative and scholarly careers in the arts, offer in-depth study to enhance student knowledge of an arts discipline, and/or prepare students for advanced study in the arts. In addition, they offer nonmajor students both studio and lecture coursework in the arts.

Description

The College of Fine Arts consists of five departments, Art and Art History, Ballet, Modern Dance, School of Music, Theater; one division, Film Studies; and one program, Arts Technology. Through its departments and division the college offers the following degrees: Ph.D., M.F.A., M.A., M.Mus., B.F.A., and B.A. A complete listing of curricular designs can be found on the online catalog on the University Website *http://www.acs.utah.edu/GenCatalog/crsdesc/fa.html*.

Each department/division within the college has its own mission and objectives that can be accessed in their individual self-studies. The college offers courses in digital arts through its Arts Technology Program. The Arts Technology Program is not degree granting but serves the departments by centralizing digital arts offerings for cost efficiency. Currently only the School of Music is accredited by a national arts accrediting agency, the National Association of Schools of Music. The Departments of Ballet and Modern Dance must seek accreditation as a unit and are in the process of writing their self-studies for application to the National Association for Schools of Dance. The Department of Art and Art History and the Department of Theatre will also be encouraged to apply for accreditation.

The college employs 72 tenure-track and 36 full-time nontenure-track faculty, as well as a number of part-time faculty. Staff numbers break down into 34 full-time and 15 part-time personnel. Since our 1996 review, 7 tenure-track lines and 11 staff lines have been added. Tenure-track faculty teach heavy loads in comparison with their peers across campus, typically teaching three to five classes per semester and sometimes more. Actual numbers are still unacceptably small, but there has been a substantial increase in hires of faculty of color.

Significant Changes

The College of Fine Arts student body has seen significant steady growth, with graduate student numbers up more than 100%, from 65 graduate students in 1996 to 141 in the past year. Although less dramatic in terms of growth, undergraduate majors have increased by 33% from 1,310 in 1996 to 1,747 last year. These increases are a result of thoughtful, strategic growth planning for realistic "right-sizing" on the part of the college and departments. To a large extent the departments control their growth through selective auditioning and specialized entrance requirements even at the undergraduate level. The fact that the departments have continued to grow while continuing or raising the entrance requirements is evidence that they are attracting better prepared students through their recruitment efforts.

Student credit hour generation has also seen a steady increase from 47,990 in 1996 to 63,492 last year. The college and its departments have also made progress in their objectives of enhancing recruitment of students of color. Although numbers are still unacceptably small, the number of diversity graduate students grew by 300% and undergraduate by 78% between 1996 and 2004. The college and departments see diversity recruitment as an area that needs improvement and remain committed to this goal through specially targeted recruitment, outreach, and scholarship efforts. The number of undergraduate and graduate degrees awarded has seen steady growth since our last review, up 89% for undergraduates and 66% for graduate degrees.

Sixty general education courses are taught through the college (15.1% of the University's total offerings). Beyond its teaching and research contributions to the University community, the College of Fine Arts has a vibrant, active performance calendar that contributes to campus cultural life. Each year the college publishes its performance/exhibition calendar, which lists 70-80 events. Many have multiple dates so students and faculty have approximately 260 possible opportunities to see these events. In addition, approximately 200 performances, exhibitions, and recitals offered yearly do not appear on the calendar. All performances are either free or have very affordable ticket prices for students and faculty. A study conducted in 1998 showed that for ticketed events alone attendance averaged 51,000 annually. Students make up approximately 80% of the audience (as measured by student ticket sales).

Youth programs on campus, arts education coursework, and outreach programs from the College of Fine Arts augment arts education in area public schools by providing arts enrichment activities for K-12 students, preservice arts education for future teachers, and professional development activities for teachers, and by coordinating arts education activities with the State Board of Education. Over 8,000 K-12 students are impacted annually through the efforts of approximately 275 arts majors through programs conducted by 12 college faculty. Approximately 1,668 teachers participate in professional development activities provided by faculty and students. Approximately 100 future teachers enrolled in preservice arts education courses offered through the college.

In addition to the changes mentioned above, events listed under the following categories are of note:

• *Administration*

- In 1997 the College of Fine Arts appointed its first female dean and in 2005 the University's first African American dean.
- In 1999 the position of associate vice president for the arts was created as an additional responsibility of the college dean, bringing all the auxiliary and academic arts under single supervision, which has yielded significant communication and cooperation benefits.
- New chairs have been hired/appointed in every department, resulting in positive new directions (see individual department self-studies for specifics).
- A new assistant dean for technology was hired.
- An assistant dean for research, who serves as a resource for faculty research efforts, was appointed.
- An accountant position was created to provide better financial planning, management, and support for the college and departments.
- Between 1997 and 2005, College of Fine Arts endowment funds increased 141%, from $6,499,360 to $15.6 million.
- Private giving through development efforts to all the arts on campus totaled $73.2 million since our last review.

• *Facilities*

- In 1999, the renovation of and addition to the School of Music's David Gardner Hall was completed. The cost of the project was $23 million, $14 million in state appropriated funds and $9 million in private gifts.
- In 2000, Pioneer Theatre was renovated with $5.5 million in private funds.
- During 2001, the Utah Museum of Fine Arts new facility was completed with $17 million in private funds.
- In 2004, the former Utah Museum of Fine Arts building was designated as the Art and Architecture New Media Wing.

Closing the Loop: Arts Technology

The College of Fine Arts initiated internal and external assessment reports on its technology curriculum, practices, equipment, and support systems that resulted in recommendations that have been implemented. These include creation of a five-member computer support team that assists faculty, staff, and students of the college with digital projects as well as computer support and a faculty Arts Technology Advisory Committee that augments communication among departments and enhances the departmental input into technology planning, policies, and implementation. Another set of steps involved addition of four new student computer labs across the college, and an increase in the college bandwidth by 1000%, allowing students and faculty the capacity to do state-of-the-art research. The college also created the Arts Technology Program to centralize digital technology courses and equipment, resulting in cost savings to departments. Finally, the college hosted an International Arts Technology Symposium. Registration surpassed all expectations, including approximately 40 attendees from universities across the country, as well as a healthy international representation from England, Canada, Venezuela, and Australia. Approximately 140 University of Utah students, faculty, and administrators also attended. An annual Evening of Arts Technology has also been instituted to showcase the work of students and faculty across the college.

- During 2002-2005, renovations to the Performing Arts Building are ongoing. To date the total cost is $224,320, all state appropriated funds.

• *Scholarships*

- The money available for scholarships (expendable) has increased from $846,477 to $1,205,464 since our last review, a gain of 42%.
- Through the generosity of a supportive foundation, the college was given its own scholarship house in 2003. Thirteen fine arts students from across all disciplines receive scholarship support to reside in the facility.

• *Faculty*

- An annual orientation/mentoring program for new College of Fine Arts faculty was initiated in 2002. The semester-long program introduces new faculty to information about the University and college and focuses on retention, promotion, and tenure; budget; teaching and research resources; and other issues identified by participants.
- College of Fine Arts faculty generate online faculty productivity reports annually for merit-based salary consideration. The reports keep updated records of faculty teaching, research, and service.
- The college was the first to require online course evaluations that led to University-wide implementation.
- Since 1996 the college has created a retention, promotion, and tenure template shared by all departments in revising its retention, promotion, and tenure documents to reflect higher departmental standards, as well as greater clarity, specificity, and fairness.
- Annual Faculty Excellence Awards were created to recognize outstanding faculty work identified by their peers.

- An annual Student Choice Award was established and implemented for the recognition of an outstanding faculty member by his or her students.

Analysis and Appraisal

Each department in the College of Fine Arts engages in ongoing assessment activities consistent with University and college policies. These activities include formative and summative measures designed to help determine achievement of the mission, goals, and objectives of the unit. The College of Fine Arts has methods for assessment from premajor through alumni. Although not all the measures listed below are used across all the departments, the following methods are a compilation of those used in the college for assessing student/alumni achievement.

• *Premajor Assessment*

- Audition requirements for entrance into the major
- Other special admission requirements, such as portfolio reviews

• *During Major Study*

- Course assignments
- Examinations
- Student course evaluations
- Intern evaluations by field supervisors
- Intern exit interviews
- Annual individual student evaluation sessions
- Annual student skills assessment juries/portfolio reviews
- Assessment focus groups of professionals within the discipline
- Media reviews or stakeholder comments
- Invitations to and awards from national/international competitions and conferences

• *End of Major*

- Capstone portfolio reviews
- Capstone courses
- Comprehensive examinations
- Senior or graduate concerts, exhibitions, and performances
- Exit interviews or surveys

• *Alumni Assessment*

- Alumni surveys
- Assessment focus groups of professionals within the discipline
- Alumni concerts, showings, performances, and exhibitions
- Graduate school acceptance
- Stakeholder comments
- Successful employment within the discipline
- Media reviews
- Prestigious achievements, awards, and recognition

Data from these various assessment methods

Closing the Loop: Diversity in Fine Arts Faculty

An analysis of the shortage of faculty of color in the College of Fine Arts led to the appointment of the University's first African American dean in 2005 and a 300% increase in hires of color, despite faculty salaries that are not competitive with peers.

combined with other data collected for the College of Fine Arts self-study, the internal review by the University, and this self-study highlighted several strengths and some areas needing attention. These data have been used to improve the quality of instruction, curricular offerings, and program policies and procedures. A few examples demonstrating the effectiveness of this assessment data are (1) the Department of Ballet faculty are in the process of reviewing and revising the curricular requirements and written materials that are confusing to students, particularly in the graduate program; (2) the Department of Modern Dance faculty are focusing on the role and integration of technology in the undergraduate and graduate programs as the result of the program review conducted under the auspices of The Graduate School; and (3) as a result of concerns of students, the faculty of the School of Music have approved a minor in music to be implemented fall 2006. More examples are referenced in each departmental self-study.

By far the most challenging is the assessment of alumni achievement. This is a challenge shared with fine arts colleges across the nation. Many artists are self-employed, live highly mobile lifestyles, and are not predisposed to keep in touch. The last alumni survey sent out 7 years ago by our college had such poor return on the costs that further attempts were abandoned. At a recent conference at the International Council of Fine Arts Deans, this problem was discussed without finding any effective solutions. That being said, the college is implementing meetings with this year's seniors to emphasize the importance of communicating with their college or department. We are collecting email addresses and will be sending out periodic newsletters and requests for information. Two departments have tried to mount alumni surveys through newsletter and online questionnaires sent to alumni in the past. Again, results have been minimal, but we hope that over time responses will increase. The University has promised to mount an alumni survey of all its graduates with general questions augmented by specific questions by discipline. Perhaps this will elicit better responses. So, the departments do try to compile records of alumni success and achievement, but these reports are largely anecdotal or happenstance, i.e., a *New York Times* review being read by a faculty or staff member, running into graduates at a national conference or competition, or periodic/sporadic contact from former students. This informal information is reported to the department's administrative assistant for record keeping. Another source that offers departments information is Internet searches for alumni names. The college and its departments need and want to improve alumni assessment and are open to recommendations on how to accomplish this goal beyond our current efforts.

The departments are assessed every 7 years in a process conducted by The Graduate School in accordance with University policy. Full results of most recent reviews are contained in the departmental self-studies available in the indexes supplied by the college. Currently only the School of Music is accredited by the National Association of Schools of Music through the National Accreditation Association in Washington. Even though The Graduate School reviews are specific to each department, commendations and recommendations common to all units are summarized below:

- Faculty in all departments were commended for being hard-working, excellent teachers who were dedicated to their students.
- Student satisfaction was high in all departments.
- Curriculum design was commended for all disciplines with some minor recommendations in specific emphases.
- Overall the departments were commended for their high quality.

- Internal and external reviewers were impressed with achievements of our alumni.

In addition, the College of Fine Arts has identified a number of other strengths. These include:

• *High Quality Programs*

For a city of its size, Salt Lake City is noted for the quantity and quality of its professional arts. All the major (and most of the smaller) professional arts organizations in the city and in the state have their roots in the College of Fine Arts at the University of Utah. The Utah Symphony, Ballet West, Ririe Woodbury Dance Company, and Repertory Dance Theatre (to name a few) all began on campus. University arts programs are not regularly included in the variety of annual published rankings. Even when they are, the Departments of Theatre, Ballet, and Modern Dance are seldom included. As a result, citing of national rankings is rare in these disciplines. Nevertheless, the Performing Art Major's College Guide ranked the Department of Theatre in the top 13 undergraduate drama schools in 1994. The Department of Modern Dance was ranked number #1 in the nation in M.F.A. degree programs and #3 in B.F.A. programs by *Dance Teacher Now* magazine in 1998.

• *Student Recognition and Achievement*

The Department of Theatre and the Department of Modern Dance have won their regional competitions for the College Theatre Festivals and the College Dance Festivals, respectively, every year since the last review. On alternate years the regional winners are invited to perform at the Kennedy Center competition and have been selected to perform on the Gala Concert. In the *Dance Magazine* review of the 2004 Kennedy Center Gala, Paula Durbin wrote, "*It (the capacity crowd's exhilaration) persisted even after what was anticipated to be the high point: University of Utah student Natosha Washington's eye-popper, House of Timothy featuring sex, conflict, and music by Daft Punk. Drop dead gorgeous Jill Patterson became the obvious choice for Dance Magazine's award for outstanding student performer.*"

Karen Hakobyan, piano/composition major, has won the American Society of Composers, Authors and Publishers Award for student composition, first place in the national Fite Competition (piano), the Hawaii CD Recording Competition. She was invited to perform a solo recital and concerto with the orchestra at the Lile International Piano Festival in France.

Students from the Film Studies Division received a Student Emmy and a Golden Cine Award for their animated short film, "Fish Wars." Our students' films are regularly accepted to national/international festivals and competitions. Since 1996 student filmmakers have won 13 awards in national competitions and three in state competitions. A full listing is appended to the Division of Film Studies' self-study.

In May 2005, the University of Utah Singers were awarded six prizes in the Florilege Vocal de Tours International Choir Competition held in Tours, France, including the Grand Prix de la Ville de Tours. As winners of the Grand Prix they are automatically entered into the European Grand Prix for Choral Singing 2006 (considered the world championship of choral art). For further accolades and reviews of both vocal and orchestral music see the School of Music Self-Study.

Forty-five College of Fine Arts undergraduates have been awarded University of Utah Undergraduate Research assistantships between 2001-2005.

Based on reports of students who have solicited letters of recommendation from the faculty, we find approximately 95% are admitted to their first choice of graduate schools.

• *Faculty Recognition and Achievement*

A full list of awards and recognitions is available in indexes to department self-studies; the following are a few examples:

- Brady Allred is artistic ambassador for the U.S. Information Agency and also is the director of our student choir, which was the recent winner of First Prize at the Marktoberdorf International Chamber Choir Competition.
- Kaye Richards, the Department of Modern Dance's first African American faculty member, was named the University's 2005 Distinguished Service Professor.
- Morris Rosenzweig is a Guggenheim Fellow and a Rockefeller Foundation Fellow and has awards from the American Academy of Arts and Letters.
- Four faculty members in the College of Fine Arts have received the University Distinguished Teaching Award, which augments their salaries by $5000 annually in perpetuity.
- College of Fine Arts faculty proactively seek both internal and external funding for research and to enhance their teaching. Twenty-one out of 39 external grants applied for were funded and 41 out of 55 internal grants applied for were funded for a combined amount of $488,400 in 2004-05.

• *Alumni Recognition and Achievement*

Alumni from all departments have gone on to high profile success in their respective disciplines. Department self-studies provide information on alumni success. The following is a brief sample from those reports:

- Music: Stanford Olsen is one of the world's leading light lyric tenors, performing with the Metropolitan Opera, La Scala, Australian Opera, Deutsche Opera Berlin, and San Francisco Opera, to name a few.
- Celena Shafer, a 1999 graduate, is a rising star in opera, winning the 2002 ARIA Award for exceptional ability and unusual promise for a distinguished vocal career. She has sung with the Lyric Opera of Chicago, New York Philharmonic, Los Angeles Opera, and the Santa Fe Opera.
- Modern Dance: Alumni perform with nearly all the top professional dance companies in the world. Alumni have received the Guggenheim Fellowship and numerous other prestigious awards. Alumni include a number of internationally acclaimed choreographers such as Ann Carlson and Steven Koplowitz in New York and Carolyn Carlson of Paris, Venice, and Helsinki. Many alums have their own companies in places such as San Francisco, Los Angeles, Chicago, and the state of Colorado. Approximately 30 alums have started or chaired the top university dance programs in the nation. Over 100 alumni serve on major university faculties around the world.

Summary

Commendations

- The college has several high quality programs. For example, the *Performing Arts Major's College Guide* ranked the Department of Theatre in the top 13 undergraduate drama schools (1994) and the Department of Modern Dance was ranked #1 in M.F.A. degree programs and #3 in B.F.A. programs by *Dance Teachers Now* magazine (1998). Forty-five College of Fine Arts undergraduates have been awarded University of Utah undergraduate research assistantships.
- Departments have continued to increase enrollments while maintaining or raising entrance requirements, signifying attraction of better prepared students through

recruitment efforts. The number of degrees awarded has increased steadily, up 89% for undergraduates and 66% for graduate degrees.

- Every department in the college engages in ongoing assessment activities, which include formative and summative measures designed to help determine achievement of the mission and goals.
- The college initiated internal and external assessment reports on its technology curriculum, practices, equipment, and support systems that resulted in recommendations that have been implemented, including creating the Arts Technology Program to centralize digital technology courses and equipment.

Challenges

- The college suffers from substandard faculty salaries. The college will continue to work with the Senior Vice President for Academic Affairs to systematically address issues of salary.
- Teaching loads in the college are high, and we are continuing to review curricular requirements, scheduling, and utilization of auxiliary faculty to reduce teaching loads for tenured and tenure-track faculty.
- Operating budgets for departments are too low, but we are examining ways to generate sufficient student credit hours that will yield productivity funds to address department operating budget deficits.
- The college and its departments must do a better job of tracking alumni data. To do this, we will revamp the communication/marketing strategies to college and department levels to increase alumni-college connections.
- The college and its departments must continue efforts to increase faculty and student diversity. One method is to create incentives that will reward departments that aggressively work to increase diversity.
- The Department of Theatre needs a new facility. This will be a primary focus in the college's capital campaign.
- Renovation of the existing new media wing, now in the planning stages, must be implemented. Development efforts will be undertaken to secure needed funding.

College of Health

Central Aims and Purposes

The mission of the College of Health at the University of Utah is to promote health and enhance quality of life through the discovery, application, and dissemination of information on health promotion, risk reduction, disease prevention, fitness, nutrition, recreation, and rehabilitation processes for a changing society. We do this by preparing students for careers in a variety of health and health-related fields, conducting research on different aspects of health, and contributing to the health and wellness of the local community by participating in a variety of health-focused community partnerships and offering clinical services in several of our academic disciplines. Our teaching, research, and service activities are highly integrated and the college is committed to service-learning and experiential education. In addition to supporting the missions of the institution and the University of Utah Health Sciences Center, various units in the College of Health are committed to the missions of their national professional and accrediting organizations.

Description

The College of Health, along with the School of Medicine and the Colleges of Nursing and

Pharmacy, is located in the Heath Sciences Division of the University of Utah. The college evolved from a Department of Health, Physical Education, and Recreation that at one time was housed in the College of Education. Clinical degree programs in Physical Therapy and Foods and Nutrition were added in 1973, and Department of Speech-Language Pathology and Audiology was added in 1984. The Division of Occupational Therapy was acquired in 1998. Following name changes in several of the academic units within the college, the College of Health currently consists of the Departments of Communication Sciences and Disorders, Exercise and Sport Science, Health Promotion and Education, and Parks Recreation and Tourism, and the Divisions of Nutrition, Physical Therapy, and Occupational Therapy.

Programs in the College of Health are accredited by the National Council for the Accreditation of Teacher Education, Council on Accreditation of the National Recreation and Park Association in cooperation with the American Association for Leisure and Recreation, Accreditation Council for Occupational Therapy Education, American Physical Therapy Association, National Athletic Training Association, and the American Speech-Language and Hearing Association.

The College of Health currently enrolls over 1,700 undergraduate and graduate students in degree programs located in the seven academic units (Office of Budget and Institutional Analysis, April 26, 2005). Enrolled majors in these degree programs between academic years 2000 and 2004 are listed by major in the College of Health Self-Study. For a complete description of department majors, minors, requirements, and course offerings, please see the University of Utah *General Catalog*. The college awarded 458 degrees during the 2004-05 academic year: 322 bachelor's, 121 master's, and 15 doctorates.

In addition to educating the majors enrolled in the college, the College of Health offers courses to approximately 10,000 University of Utah students each year and generated over 59,000 student credit hours during academic year 2004, placing it among the largest credit hour producing colleges at the University.

The college's FTE employment figures include approximately 44 tenure-track faculty, 40 auxiliary/clinical faculty, and 22 staff. Each department/division is administered by a department chair and an administrative assistant. The Office of the Dean is staffed by an executive assistant, an administrative (budget and finance) manager, a coordinator for student services, a facilities manager, a director of development, a grants manager, an executive secretary, and several work-study students. The college's annual budget is currently $12.1 million, of which approximately 80% is provided by appropriation from the State of Utah and student tuition.

College of Health facilities are located on the main campus in the Health, Physical Education, Recreaton Complex (dean's office, Department of Exercise and Sport Science, and Division of Nutrition), the Annex Building (Departments of Health Promotion and Education and Parks, Recreation, and Tourism, and the Nutrition Clinic), the Social and Behavioral Sciences Research Tower (Department of Communication Sciences and Disorders), and in the Research Park area in the Dumke Health Professions Education Building (Divisions of Physical Therapy and Occupational Therapy), and the Health Sciences Biomedical Research Building (Speech, Language and Hearing Clinic). The college maintains a variety of clinical, laboratory, and activity facilities that are used for teaching, research, clinical service, and service courses.

Significant Changes

- Significant enrollment growth has occurred in most program areas.

- The master's degree in audiology was revised and approved as a clinical doctorate (Au.D.) in 2004.
- The Communication Sciences and Disorders Speech, Language, and Hearing Clinic was relocated to Research Park to upgrade the facility and provide more space for the department.
- A degree program in athletic training was established in the Department of Exercise and Sport Science and accredited in 2002.
- An undergraduate honor's degree was implemented in the Department of Exercise and Sport Science in 2004.
- The Department of Health Promotion and Education was relocated to the Annex Building to provide more space for that department and the Division of Nutrition and the Department of Exercise and Sport Science.
- Significant building renovations including the establishment of a wellness clinic, several research laboratories, and faculty offices have occurred in the Divisions of Nutrition, Physical Therapy, and Occupational Therapy.
- The college has received approval to build a new 60,000 square foot facility and master planning for the facility was completed in August, 2005.
- The master's degree in physical therapy was revised and approved as a clinical doctorate in 2004.
- The Division of Occupational Therapy was approved in 1998 and admitted its first class in 1999. The division was accredited in 2000.
- An expected amount of faculty/staff turnover has occurred and new hires made.
- New positions for the college include an associate dean for academic affairs, a director for development, and a grants manager.

Analysis and Appraisal

A variety of formal and informal assessment tools are used by the departments/divisions of the College of Health to learn what students, alumni, internship placement sites, and employers feel are the strengths and weaknesses of our academic and clinical training programs. In addition, all departments actively assess student-learning outcomes. The mechanism of assessment is often determined by requirements of accrediting organizations. All departments/divisions routinely collect student course evaluations, assess faculty achievement, hold an annual retreat that includes self-assessment, and evaluate student-learning with comprehensive examinations, thesis and dissertation committee reviews and defenses, and cooperative education/internship placement evaluations. Additional assessment tools used by the departments and divisions in the College of Health are presented in the College of Health Self-Study.

Strengths and weaknesses identified by each department/division are included in the unit self-studies located in the College of Health exhibits. Collectively, strengths and weaknesses of the College of Health may be summarized as follows:

Strengths

- Strong enrollment and student credit hour production in most program areas. The College of Health enrolls over 1,700 undergraduate and graduate students and generated over 59,000 student credit hours during academic year 2004.
- A dedicated faculty committed to student-learning and preparing students for meaningful careers. Examples include:
- A new honors program in exercise and sport science

A new concentration in sport management in the Department of Parks, Recreation, and Tourism

- New clinical doctorates in physical therapy and audiology
- Program proposals in American Sign Language, diabetes education, sport nutrition, disability studies, and a collegewide Ph.D.

- Excellence in preparing students for chosen careers. Examples include:
  - 95% first attempt pass rate on the American Speech-Language Hearing Association Praxis exams for audiology and speech-language pathology (100% pass rate by second attempt)
  - 90% - 100% first attempt pass rate on the American Dietetic Association (Nutrition) registration exam over the last 10 years
  - 100% first attempt pass rate on National Board for Certification in Occupational Therapy certification exam
  - 97% first attempt pass rate on the American Physical Therapy Association licensure exam in 2004
  - Programs in the Departments of Exercise and Sport Science, Health Promotion and Education, and Parks, Recreation, and Tourism prepare students for advanced graduate degrees including medicine
- Excellent job placement. Examples include:
  - 90% - 100% job placement rate for audiologists and speech-language pathologists since 2000
  - 100% placement rate for students in the coordinated master's program in dietetics (Nutrition)
  - 100% job placement for students in occupational therapy
  - 100% job placement rate for students in physical therapy
- A commitment to service-learning. Examples include:
  - All departments/divisions have a service-learning component
  - Two faculty from the College of Health have recently been named Service-Learning Scholars
  - National Youth Sports Program, UFIT, and Project GAIN programs
- A commitment to scholarship. Examples include:
  - Faculty regularly publish in the top journals of their respective fields and give numerous presentations at national professional meetings and engage students in their research interests.
  - Active participation in the University Undergraduate Research Opportunities Program.
- A commitment to University and professional service.

Challenges

- Faculty salaries. Faculty salaries in the College of Health are just 86% of our peer average (2004-2005 comparisons to the Oklahoma Salary Survey prepared by the Office of Budget and Institutional Analysis. It is difficult to attract and retain high-quality faculty when providing less than average compensation.
- Heavy reliance on state funding. As a result of recent cuts in state funding to higher education and several years of flat or small pro-forma increases to the faculty/staff salary pool, operating budgets in several units have become inadequate to support quality programs. Little external funding

from contracts and grants and lack of development funds have made the college vulnerable to shortfalls in state resources.

Summary

Commendations

- The College of Health serves students in an exemplary fashion.
- More undergraduates are seeking academic majors in the college. Consequently, enrollment in the college has increased by 11% (114 majors) over the past 5 years. Over this same time period, the faculty has orchestrated a 131% increase (68 students) in the number of undergraduates engaged in personalized learning experiences (Honors, Undergraduate Research Opportunities Program, etc.).
- With the goal of improving the quality of graduate education, over the past 5 years there has been an 18% increase in the number of areas of study in College of Health graduate programs.
- The College of Health faculty members are to be commended for their enthusiasm, commitment, and ingenuity. Not only have they been responsible for curricular innovation and passion for individual students, but over the past 5 years they have increased their peer-reviewed publications by 15%.

Figure 2.7 summarizes gains in College of Health productivity over the past 5 years.

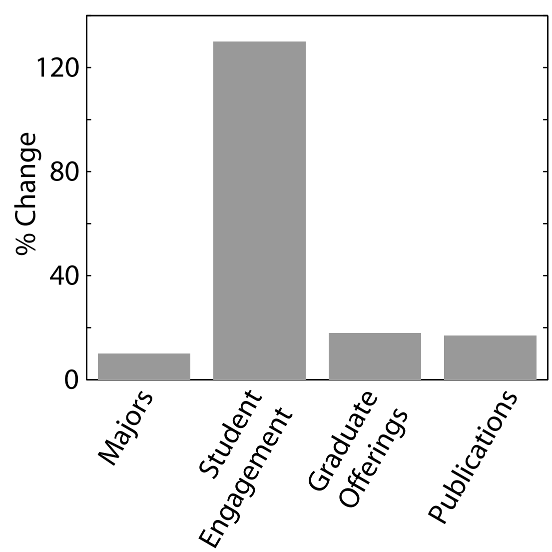
Challenges

Mitigation of the reliance of the College of Health on state funding has been identified as a priority action for the college. By increasing the college's contribution to the research mission of the University and enhancing our development efforts, the challenge of increasing low faculty salaries can be addressed.

Specifically, recent strategic planning has identified the following action plans:

- Increase external grants and contracts in the next 5 years by 220%. The actions that will facilitate the goal achievement involve building a college research infrastructure (grants manager, a principal investigator incentive program, and the establishment of the Center for Rehabilitation Research and College of Health Research Center) to increase faculty engagement in grantsmanship.
- Increase development efforts for the purpose of supporting academic programs and expanding the college salary pool. Funding for this target will be achieved through new alumni relations programs, more emphasis on annual appeals, and further efforts to identify friends of the College of Health.
- Increase clinical revenue by 10%. The relocation of College of Health clinics in Research Park for better client access as well as the future involvement of college clinics in the University of Utah health promotion plan are some examples of specific actions that should increase clinic revenues.

Figure 2.7: Percent Gains in College of Health Productivity from 2001-2006



College of Humanities[1]

Central Aims and Purposes

The College of Humanities is at the core of the University's mission and the experience of higher education. We believe the College of Humanities offers a continuing reminder of and approach to a conscience in a complex world. We produce scholarship and offer instruction directly addressing communication skills; critical, comparative and analytical thinking; cultural awareness and diversity; close readings of print and visual media; and how to embrace other perspectives, thereby laying the groundwork for compassionate and informed approaches to life and living.

The motto we have coined for the college is "learning that lasts a lifetime." We study and teach essential skills and tools for thinking and communicating that apply readily to everyday practical situations, emphasizing a commitment to community and an awareness of our integral function in a multifaceted global culture. Through research and pedagogy that are examples of healthy questioning and shifting frontiers, and of attempts at inclusion and connection, we offer approaches that are fundamentally democratic. We thereby help to produce better-informed, thoughtful world citizens with a foundation for nuance and flexibility.

Description

The college is the second largest in the University and houses the Departments of Communication, English, History, Languages and Literature, Linguistics, and Philosophy; the Asian Studies, International Studies, Latin American Studies, and University Writing Programs; and the Middle East and Obert C. and Grace A. Tanner Humanities Centers (see Humanities Exhibit 1). Since 2001, in addition to the aforementioned International Studies and Latin American Studies undergraduate programs, we have added an M.A. in Environmental Humanities; undergraduate minors in peace and conflict studies, animation, and literacy studies; an undergraduate focus in technical literacy, and a Center for the Study of Endangered American Indian Languages with a Graduate Certificate in Revitalization of Endangered Languages and Cultures. We are in the process of adding an M.A. in Asian Studies; programs in medical ethics, comparative literature, British studies, documentary studies, and technical and visual literacy; and a Center in Values and Ethics. Communication is the most frequently chosen undergraduate major in the entire University, and international studies is the fastest growing new major (see Humanities Exhibit 2).

All undergraduates take courses with us at some point in their careers. Of these, about 2,500 choose from among 21 majors in our college, and we confer a fifth of the University's diplomas annually. In the last 5 years, there have been increases of 13% in the number of undergraduate degrees and 17% in the number of student credit hours produced in the college (refer to Humanities Exhibits 3, 4, and 5). We have 383 graduate students, 140 of whom are teaching assistants, in 14 master's and 13 Ph.D. programs. Our 161 tenured and tenure-track faculty have published 60 books and more than 300 articles in the past 3 years, possess international distinction as scholars, are the most frequent winners of University teaching and research awards, and are the most diverse in terms of ethnicity and gender in the University (see Humanities Exhibits 6, 7, and 8).

Significant Changes

During the past 4 years, with a new dean (2001), our college has focused on changing its culture, in part by asserting its proper place as

1 All exhibits referenced in the College of Humanities section are located in the college self-study.

Closing the Loop: Increasing the Resource Base

Fundraising and applications for external grants were generally nonexistent in the college in 1996. We have since hired an energetic development director (2002) and an assistant dean (2003) whose primary tasks are to help faculty gain external support, build bridges with national foundations and funding agencies, and expand our public profile. In the past 2 years, the total number of grants submitted by faculty has doubled, the average amount requested increased by a factor of 6, and funding received has tripled. Similarly, donors' gifts have increased 46% during this time and dollars raised 380%. We also have experienced an 83% increase in the number of new donors to the college. News coverage of our college has increased substantially in local and national media (see Humanities Exhibits 9a-b, 10, and 11a-c).

the cornerstone of higher education and also by shifting its financial attitude from a welfare mentality to that of a vibrant and deserving player in development activities.

Our college increasingly has been dedicated to erasing the town/gown barrier and to assuming a prominent role in the community. In addition to attempting to elevate our national and international prominence, as the foundational center of the state's flagship University, we take our regional and community roles very seriously. The 2003 4-month campaign for the Gordon B. Hinckley endowment in British Studies produced not only a $4 million endowed chair, the best endowed at the University, but helped to knit together the broader Church of Jesus Christ of Latter-day Saints (LDS) and non-LDS communities in a common educational purpose. We sponsor the Liga de Futbol Soccer Mexico-Utah, reaching over 1,000 young people on the west side of Salt Lake City, a predominantly Latino/a community, and, 2 years ago, launched a successful campaign for first generation scholarships, which produced three 4-year full scholarships, each of these 2 years.

We have programs in English as a second language, writing and literacy with outreach to the Latino and Native American communities, a successful family literacy center on the west side, and a community-centered visiting writers course, and we are making the Tanner Humanities Center a major resource for vibrant intellectual discussion not only for the University but also for the Salt Lake community. We offer teacher education workshops and conflict resolution training and have alliances with several nonprofit organizations. We host the Humanities Happy Hour at Squatter's Brew Pub each month, which boasts 350 paying members, and the Renaissance Guild book club, which meets quarterly. Our communications to our alumni have been significantly elevated as we seek to reinvolve them in the excitement of our college.

Faculty turnover has been heavy since 1996, due in large part to salaries that were not competitive with peer and aspirant institutions. Faculty review and criteria for retention, tenure, and promotion have been revised in all departments and programs, with attention to changing standards in our fields. The undergraduate and graduate curricula in most departments and programs have been revised with attention to interdisciplinarity, capstone experiences, and new directions in scholarship. Class sizes have continually expanded, due primarily to financial constraints as well as to the popularity of our courses. Demands for mass communication, Spanish, writing across the curriculum, and English as a second language have exploded. Despite expanding numbers of students served, the number of total faculty has remained generally constant. With growing programs and increased numbers of students, demands on staff have steadily increased at a proportion entirely incommensurate with numbers. Graduate Council reviews have been used effectively to initiate relevant changes in departments and programs.

Analysis and Appraisal

Increasingly our global society has become more multicultural, and traditional disciplinary boundaries have been challenged or bridged. For the past four decades, the College of Humanities has led the way in interdisciplinary scholarship and pedagogy. We are dedicated to preserving the rich traditions of humanistic disciplinary study and making traditional boundaries more permeable.

Assessment of Learning Outcomes

Each department implements a mechanism for assessing learning outcomes in its major and minor programs. Senior year capstone courses or the equivalent, which are designed to assess student knowledge acquisition, are offered by every department (see Humanities Exhibits 12a-12 j). Review and assessment of the academic programs at the college level occurs through several mechanisms. These include department chair reports to the dean, annual merit reviews of faculty involving teaching reviews conducted by ad hoc committees, formal and informal retention and promotion reviews, and post-tenure reviews conducted every 5 years, which are submitted to the dean and reported to the Associate Vice President for Faculty.

The College Curriculum Committee reviews course curriculum and recommends approval of new courses or changes to existing courses. Approval criteria for new curricula include the demonstrated need of the new course and the demonstrated importance of the course to the degree program. Curricula are directly linked to the strategic and academic plan of the department and also reflect the strategic plan of the college (see Humanities Exhibit 16).

Job placement information for College of Humanities graduates is provided by the University Alumni Association. A student database tracking mechanism within each department is expected to be in place by fall 2006. This will increase alumni contact, which then should result in accurate and direct information.

The College of Humanities houses the University Writing Program, which has the responsibility for providing writing instruction to every undergraduate student at the University of Utah. The University Writing Program has several approaches to assessing the upper-division writing courses it oversees. These courses are currently taught primarily in the College of Engineering and the David Eccles School of Business, although we are proceeding with plans to implement an upper-division writing requirement across campus. Other upper-division writing courses are taught throughout the University in students' home departments as part of the communication/writing baccalaureate requirement. The chair of the committee that oversees the requirement is also a faculty member in the University Writing Program and is currently working with the committee to determine how such courses will be assessed.

To assist the College of Engineering in its last accreditation process, the University Writing Program conducted a pre- and posttest study, analyzing students' reports for quality using specific writing measures indicative of quality writing in engineering. The data sets included samples written at the earliest and latest points in the Communication, Leadership, Ethics, and Research (CLEAR) Program, whose writing portion is overseen by the University Writing Program. Students writing the earlier reports had not received ongoing writing instruction prior to writing their reports but the latter students, if they had completed the design sequence at the University of Utah, had received writing instruction throughout the entire design sequence. Results indicated that students who had received instruction produced reports whose quality was improved (achieving statistical significance) over those of the earlier students, who had no instruction from the Writing Program.

Assessment is currently underway with a new program with the David Eccles School of Business. A course specific to the needs of business students was designed and implemented last year. The focus of the course is to teach students about business writing while immersing them in business writing contexts. The course requires many writing assignments specific to a business setting. To assess the quality of the course, students were asked to write a sample analytical essay, much like those in the Graduate Management Admission Test (GMAT), at the beginning of the term. At the end of the term students again were asked to write a second analytical essay from the GMAT. Comparisons are currently being done on the writing students produced before and after instruction, using criteria unique to business. Initial analysis shows that students' prose from pretest to posttest is improved. Their writing is more academic in tone (critical and professional) and better organized. This assessment should be completed by the end of spring 2006.

Closing the Loop: The Communication/ Writing Requirement

Finally, based on the feedback from the Writing Program, the Communication/ Writing Committee has changed the criteria by which courses will be reviewed to meet the requirement. Criteria now adhere more to writing research, requiring instructors to offer multiple writing assignments/revisions with instruction and feedback. The criteria also require that a percentage of the course grade be based on the writing students actually produce. Courses are up for review every 3 years. Because the manner in which a department applies the criteria is unique to its goals, assessment will include a self-assessment by the department in which members identify on the course syllabus where and how instruction takes place, how frequently students write and revise, and the types of feedback students receive on their work. This self-assessment will then be given to the Communication/Writing Committee, which in turn will determine if the department is meeting the criteria successfully.

Strengths

We have nationally ranked and well-recognized programs in applied ethics, creative writing, organizational and environmental communication, critical cultural media studies, world history, Middle East studies, endangered languages, practical reason and the philosophy of science, and literacy. Many of our emerging interdisciplinary emphases are seminal and offer models for integration, not just within the college but across campus. The Tanner Humanities Center has made major strides to enhance the scholarly community within the University as a whole and to offer a center for intellectual activity in the Salt Lake community.

Our increased attention to international studies takes advantage of some existing strengths while addressing the shifting demographics of our state and the rapid globalization of economic and cultural conditions worldwide. Our Middle East Center received its second Title VI grant, and we are looking to establish national resource centers in Latin American and Asian Studies as well. We see an emphasis on Brazil for the former and on the relationship among Korea, China, and Japan for the latter as making the most sense in terms of possibilities for external funding. Demand for our new international studies major and minor has been extraordinary as has interest in our English as a second language, Spanish, and Latin American language and culture courses. In all of these areas, we seek an integrated and thoughtful curriculum that will enhance the marketability of our students and elevate the scholarly profile of our faculty.

We have emphasized the importance of effective and caring undergraduate advising, hired a dynamic assistant dean (2002) whose primary role is to coordinate and monitor the advising process throughout the college, dedicated time and resources toward training advisors, constructed a college constitution on advising, and focused attention on career opportunities for College of Humanities graduates. Most of our departments also have revised their major curricula and focused on reform and restructuring in order to attract more students and better serve them. (Refer to department and program self-study reports in Humanities Exhibit 13.)

We are a remarkably collegial unit, a notable exception to many humanities and liberal arts colleges at research-extensive universities. We take pride in encouraging and sustaining this model of respectful citizenship within a community of scholars. The "Democracy and Diversity" theme for 2005-06 is an example of the college's interest is working collaboratively in an innovative effort to advance top scholarly and pedagogical initiatives (see Humanities Exhibit 14).

Challenges

Challenges facing the College of Humanities include the following:

- *New Building*: Departments and programs in the College of Humanities are scattered throughout campus and our primary building. As a consequence, departments of the college are affected by one or more of the following limitations: space that is inadequate, requires renovation, or is temporary. We have finished the pre-programming study for a two-phased new building and have pledges committed to fund two-thirds of the first phase at this juncture. We have secured legislative approval, identified a site, and retained the services of a programmer as we proceed with phase one, which we hope to have completed in 4 years.
- *Faculty Salaries, Recruitment, Retention*: Until 2005-06, faculty salaries averaged less than 90% of peer and aspirant institutions, making recruitment and retention of the best faculty increasingly difficult. Raids from other universities have multiplied and we often must rely on soft funds to even approximate competitive offers. Raising minimum base salaries for productive assistant professors to $50,000, associate professors to $65,000, and full professors to $80,000 must be an immediate priority. With the assistance of the Senior Vice President for Academic Affairs and the cannibalizing of some vacant lines, we added 2% to last year's 2.5% merit pool, achieving a major step forward in addressing these inequities for our most deserving faculty (see Faculty Salary Report as Humanities Exhibit 15). Similar actions are required in the next few years. In addition, our multiple new interdisciplinary and international programs have created opportunities for building excellence through the recruitment of new faculty. Targeted new appointments would catapult us forward. Our development priorities include endowed support for current and new faculty lines.
- *Instructional resources*: We require more faculty lines to serve the growing number of undergraduates who take our courses. Our college carries most of the responsibility for general education courses, is the primary contributor to honors courses, and

the number of students enrolled in our courses approximates 41,000 each year. The Department of Communication, for example, serves 1,500 majors and offers a number of over-enrolled service courses, teaching about 25% of all undergraduates during their student careers, yet has only 27 tenure-track faculty. The Writing Program and the Department of Languages and Literature suffer from systemic deficits that severely compromise their abilities to fulfill their service missions and to do so with quality instruction. The Senior Vice President for Academic Affairs and the college dean have begun to infuse funds to address the latter issue, but much remains to be done and the college is constrained in its capacity to address these service issues while building its areas of scholarly excellence. Our college continues to carry a disproportionate share of general education service.

- *Diversity*: Recruiting and retaining faculty of color remains a significant problem in a college committed to diversity. Fifteen percent of our 2005-06 tenured and tenure-track faculty can be classified as "minorities," an improvement from 12.5% over the past 5 years. Enhancing diversity at the faculty and student levels remains our college's strategic goal. Our outreach into the Latino/a community through sponsorship of the Liga de Futbol Soccer Mexico-Utah, campaigns for first generation scholarships, programs in English as a second language, writing and literacy with outreach to the Latino and Native American communities, and a successful family literacy center on the west side represent significant attempts to enhance the diversity of our student body. Numbers of female faculty have risen from 55 in fall 2001 to 71 in fall 2005. (See Humanities Exhibits 16 and 17.)
- *Graduate education*: The quality of our graduate students is below that of our faculty, due primarily to stipends for teaching assistants consistently below those of competitive institutions. Two years ago, we began a new graduate fellowship program using soft funds from the Senior Vice President for Academic Affairs to help to partially bridge this gap. Many of our development actions and events also designate funds raised for these fellowships, and we have been particularly successful at funding graduate fellowships in our new Environmental Humanities Program. Currently, increases in overall stipends can come only from conversion of new productivity funds, and faculty salaries and lines compete for these limited funds.
- *Undergraduate education*: All students at the University take classes in our college. Our attention to improving and coordinating undergraduate advising, introducing assessment mechanisms, revising curricula, and staying in touch with our graduates has enhanced the undergraduate experience. Generally, our students express a high level of satisfaction.
- *Interdisciplinary and international focus*: We will continue to aggressively pursue cutting-edge interdisciplinary and international programs. Having launched a new international studies major and new minors in peace and conflict and animation studies, an M.A./M.S. in environmental humanities, a graduate certificate in endangered languages and cultures, and housing Latin American studies in the college, we intend this year to submit for approval an M.A. program in Asian studies and to develop an M.A. in humanities; a minor in documentary studies; a major in comparative literature and cultural studies; centers for documentary studies; programs in technical literacy, values and ethics, American studies, and British studies; and national resource centers in Latin American and Asian studies to go with our successful Middle East Center.

- *Fund-raising*: We will continue our aggressive and highly effective fund-raising philosophy and methods, emphasizing foundation and federal grants, elevated and strategic public and alumni relations, and community outreach to win new friends and allies. In 2004-05, we added two part-time people to our development staff, both with strong community ties, to work on major gifts.
- *Public relations*: No college possesses better skills nor ironically has a greater need to communicate its significance than humanities. We will continue to maintain a high community profile through our multiple partnerships with community agencies, especially the University Neighborhood Partnership Board, SLC Film Center, Museum of Art and History, Center for Documentary Arts, Swaner Nature Preserve, and Liga de Futbol Soccer Mexico-Utah. Our monthly Humanities Happy Hour boasts 350 members and we will be expanding to venues in Park City. Our Renaissance Guild book club also is expanding its membership and we are introducing new donor clubs. The quality, quantity, and attractiveness of our media distributions, donor presentations and informational publications have improved substantially so that we are telling our story cogently and increasingly. Enhanced positive exposure is a clear priority for us.

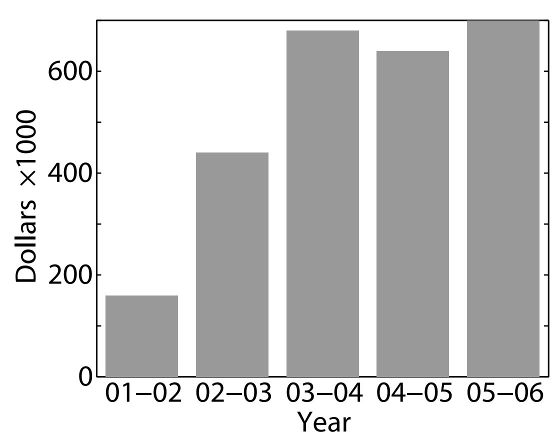
The College of Humanities is now a trend-setter nationally and a center of excellence in the University. Our recent innovations and elevated profile in scholarship, teaching, service, and development position us to leap into the top echelon of humanities and liberal arts programs if we have the resources necessary to sustain our advances and energy.

Summary

Commendations

- The College of Humanities has assumed its rightful place at the core of the University's mission during the past 5 years. Successful attention to academic excellence in the form of faculty hiring and retention, elevated scholarly productivity, enhancing the graduate and undergraduate student learning experience, and increased community involvement and campuswide collaboration all have contributed to this central profile.
- In addition, we have undergone a cultural shift, adopting an entrepreneurial mission in the form of significantly elevated development and grant funding.
- Multiple innovative new interdisciplinary and international programs, research support, scholarships, and endowed positions have resulted from these activities. See Figure 2.8 for a summary of gains in external research support for the years 2001-2006.
- Increasingly our programs and strategies serve as models for the rest of the University and are beginning to become national models. Faculty and student satisfaction are at historical high points. We have raised the

Figure 2.8: External Research Support 2001-2006: College of Humanities



funds and now are building a new humanities building. We are poised, with proper funding, to move into the top echelon of humanities and liberal arts programs nationally, a strategic goal for the next 5 years.

Challenges

- Our challenges are primarily financial and, in many ways, we have become victims of our success. Despite new and improved revenue streams, our faculty salaries and graduate student stipends still are below average for research-extensive universities and Association of American University standards. Since we have continued to recruit the best, retention is a continuing problem, although we have stretched our resources to attempt to deal with this problem and have improved our numbers. Adequate funding for enrollment pressures, especially in communication, writing, international programs, and critical languages, remains a challenge and structural deficits in languages, writing, and linguistics have had to be addressed.
- Our college continues to carry a highly disproportionate share of general education service.
- We have focused attention on improving diversity at the faculty and student levels, but this remains a considerable challenge, given our location.
- The multiple new and exciting interdisciplinary and international programs we have launched during the past 5 years will continue to require new resources as they expand.
- Our development operation has expanded significantly and requires additional personnel to work on major gifts prospecting. Ironically, humanities is constantly challenged to explain its importance to the general public. Although the quality, quantity, and attractiveness of our community events, media distributions, and donor presentations have improved substantially so that we are telling our story cogently and more frequently, enhanced positive exposure remains a clear priority.

The College of Humanities will continue to focus on meeting the goals and objectives set forth in its strategic plan (Humanities Exhibit 16) and the annual SMART goals that are created in collaboration with department chairs and program directors (Humanities Exhibit 15).

S.J. Quinney College of Law

Central Aims and Purposes

The mission of the University of Utah S.J. Quinney College of Law is to achieve academic excellence in the professional education of lawyers, to advance knowledge through the dissemination of high quality legal scholarship, and to perform valuable public service to the University, the State of Utah, our nation, and the global community.

The college's vision is to maintain and enhance our national presence as a preeminent institution of legal education, while recognizing our special obligation as the state law school to the Utah community and the Utah State Bar.

Description

The College of Law was established in 1913. It is nationally recognized for its academic reputation, innovative curriculum, and favorable student/faculty ratio. The 3-year juris doctor (J.D.) program enrolls about 135 students each year. The college also offers a specialized LL.M. degree in environmental and natural resources law. The college offers two joint degree programs, a law/business J.D.-M.B.A. degree and a law/public administration J.D.-M.P.A. degree.

The college and library are housed in two buildings, which include faculty and administrative offices, classrooms with computer and video capabilities, a recently remodeled moot court auditorium, student study areas with carrels, and two student computer labs. Both buildings provide wired and wireless computer access. The S.J. Quinney Law Library contains over 325,000 volumes of law and law-related material and serves as a U.S. government documents depository. The library offers numerous computer databases.

The S.J. Quinney College of Law prepares students to practice law in any jurisdiction and is designed to meet the evolving demands and opportunities in our society. First-year students receive intensive legal research and writing training along with a full complement of doctrinal courses, which include at least one small section of no more than 25 students. They also take a spring semester elective. After the first year, students may select from more than 50 advanced courses and seminars, a variety of clinical and skills courses, and numerous co-curricular activities. The latter include advocacy and alternative dispute resolution courses and intercollegiate competitions.

Special programs include the Wallace Stegner Center for Land, Resources and the Environment, which offers a variety of activities, including an annual symposium. The clinical programs offer live and simulated opportunities for students to perform lawyering roles. Civil and Criminal Clinic students work with clients and appear in court under lawyer supervision. Students in the judicial clinic work with judges on legal research and writing. Our London Consortium Program offers students the opportunity to study law for a semester in London with students and faculty from Utah and other consortium schools. The college's Academic Support Program provides assistance to students whose backgrounds and experiences indicate a need for such support.

Utah law students edit and publish three academic journals, the *Utah Law Review*, the *Journal of Law and Family Studies*, and the *Journal of Land, Resources, and Environmental Law*. The numerous student organizations include the Student Bar Association, the Women's Law Caucus, the Natural Resources Law Forum, the Public Interest Law Organization, and many others. A full description of our curricular and co-curricular programs can be found in our college bulletin and on our Web page at *http://www.law.utah.edu*.

The tenured and full-time faculty number 39 and bring an impressive array of education, experience, and scholarly interests. They are strong teachers and productive scholars, and they perform outstanding service for the college, the University, and the community. In recent years many of the law faculty have published books as well as articles in leading journals, and they are in high demand for scholarly presentations throughout the country and in international settings as well. The administrative staff is experienced and accomplished and known for their service commitment to students.

Closing the Loop: Improving First-Year Courses

The law faculty, after a thoughtful review of the first-year curriculum, identified a number of ways this area could be strengthened. This review led to a significant modification that eliminated year-long courses, guaranteed each first-year student a small section class of approximately 20, expanded the legal research and writing program, and allowed an elective to be offered in the spring semester. The College Curriculum Committee has assessed these changes and has concluded that they have been beneficial to the college.

Significant Changes

The faculty composition has changed dramatically since 1996. Due to an unusual number of deaths and retirements, the college has hired 12 tenured/tenure-track faculty during this time, more than one-third of the tenured/tenure-track faculty. We also have expanded the number of clinical professors teaching legal research and writing and the number of adjunct faculty in general. By all accounts, our faculty hiring has been remarkably successful, recruiting very talented teachers and scholars and improving the diversity of our faculty, which now includes 6 minority faculty and 13 women.

In the fall of 2000, we launched our Pro Bono Initiative. This program is a partnership among the college, the private bar, and agencies such as Utah Legal Services, Legal Aid of Salt Lake, Disability Law Center, and the Utah State Bar. The purpose is to identify pro bono opportunities for students to work with lawyers to meet the needs of those who cannot afford legal services. The program facilitates student and lawyer participation in pro bono legal work. The response of the students and lawyers has exceeded our expectations. We have secured foundation, law firm, and individual lawyer funding to support the program, which complements our clinical program very well.

In November 2001, the S.J. and Jessie E. Quinney Foundation pledged $26 million to the College of Law, bringing its support for the school to over $30 million, most of which will help secure the college's future through an endowment fund. The college has been renamed the S.J. Quinney College of Law. The endowment fund already has received substantial contributions and supports student scholarships, the law library, endowed professorships, and academic enrichment programs.

The student body continues to grow stronger each year as reflected in academic indicators. In 1996, the incoming class had a median undergraduate grade point average of 3.37 and a median Law School Admission Test score of 159. The class starting this fall of 2005 had median numbers of 3.67 and 160, respectively. More importantly, the breadth of educational and other experience of the students continues to grow.

Closing the Loop: Fortifying the Upper Level Curriculum

Law faculty assessed the quality of the upper division curriculum and identified several necessary improvements. These included an expansion of intercollegiate advocacy and alternative dispute resolution competition opportunities, more practical writing classes, an upgraded appellate advocacy course, expanded clinical opportunities, more intellectual property courses, and more specialty courses generally.

Analysis and Appraisal

The S.J. Quinney College of Law received a very favorable report from the American Bar Association in the last accreditation review in 2000-2001. For the second consecutive review, which occurs every 7 years, virtually all aspects of the program received high praise, and there were no report-back items. Over the course of a year, a comprehensive, multivolume self-study was prepared for this accreditation review.

The accreditation report recognized the:

- strength of faculty recruitment
- faculty's excellence as teachers and scholars
- improvements in the first-year curriculum, especially the legal writing program
- Wallace Stegner Center as enhancing the college's environmental and natural resources area

- favorable student/faculty ratio that makes it possible to offer small class opportunities.
- highly talented student body
- students' satisfaction with the quality of their legal education.

A contemporaneous Graduate Council review of the College of Law came to similar conclusions. It commended the college for:

- its development and retention of a strong and distinguished faculty
- outstanding administration and leadership
- excellence in classroom teaching
- success in student recruitment (including diversity)
- success in student placement.

Concerns that were raised in the accreditation report include the following:

- the perennial problem of the state and the University funding the library in part with one-time annual funding allocations. This problem is pervasive in the Utah System of Higher Education and is common in legal education. We have addressed this problem in part through a commitment to use an annual allocation from the Quinney naming endowment fund for library support. We also continue to work on other fundraising opportunities for the library. The solution to this issue transcends the college and will require more stable support from the state legislature.
- the physical plant, which was seen as limiting the College of Law from reaching its full potential. We have outgrown the facility and have exhausted faculty office and classroom space. We have no space for an in-house legal clinic or to house the Wallace Stegner Center for Land, Resources and the Environment. Our three student journals operate out of cramped and dysfunctional quarters, which also describes much of the student study space. Student organizations have little more than a closet for their needs. We have run out of publicly accessible library shelf space, and the library staff is crammed into cubicles not fit for the demands of their work. This list could on. We need a new building.

When the Quinney Foundation endowment gift was announced a few years ago to support the program goals of the College of Law, it was generally recognized that the next major project must be a new facility. We have conducted a master plan study to assess space needs and evaluate venue options for a new building. We also have been working on a case statement for a capital campaign, which is the next step on this major project. President Young included this building project in his inaugural address, and we appreciate the administration's support for this critical need.

The previously mentioned Graduate Council review also commented on the inadequacy of the college's facilities to meet programmatic needs and on the need for more stable library funding. It also encouraged the college to continue its efforts to facilitate student involvement in college decisions and to expand alumni interaction, and we have done so. By all objective measures, the educational program for the students is strong and successful. Admission to the S.J. Quinney College of Law is very selective and, as noted above, the academic indicators for our students have increased significantly:

- during the last 5 years, no student has left the program because of inadequate academic performance
- since 1996, our students have passed the Utah State Bar Examination at rates routinely approaching or exceeding 90%, one of the highest pass rates in the country

- the most recent data from the July 2005 Utah State Bar Examination show that 91% of our graduates passed the bar on their first attempt
- for the past 10 years, our graduates have been employed within 9 months of graduation at close to a 95% rate every year
- we also have had a higher than average success rate in placing students as judicial clerks, and our goal is to increase the number placed in highly prestigious clerkships.

The academic program is assessed in a variety of ways, including the retention, promotion, and tenure process; the tenured faculty review program; teaching evaluation; and the other methods mentioned previously. Conclusions drawn from these sources suggest the following strengths:

- the law faculty has a long-standing reputation for quality teaching and productive scholarship
- student course evaluations rank the faculty at a very high level. The average result for teaching effectiveness at the law school has been about 5 on a 6-point scale for the past 5 years, an indication of strong student satisfaction with teaching performance
- since 1996, law faculty members have received the University's Distinguished Teaching Award, Distinguished Service Award, and the Rosenblatt Prize, the latter being the highest academic honor bestowed at the University. Outstanding professors have been recognized at the annual law graduation with our Excellence in Teaching Award
- virtually every faculty member publishes regularly, including articles in leading legal journals and well-regarded books. Indeed, the last major study to rank and evaluate law school faculties based on academic distinction placed Utah at:
- 37th of the top faculties
- 23rd for publications in leading law reviews
- 26th for overall productivity of articles
- 29th for books published with leading law publishers
- 33rd for overall productivity
- 29th for scholarly impact
- 31st for overall ranking by objective criteria for productivity and impact. (See Brian Leiter, Measuring the Academic Distinction of Law Faculties, 29 J. of Legal Studies 451, 2000.)

Since that study, our law professors have continued to produce quality scholarship at an equal or greater rate. Although we and most of legal education have deep reservations about the methodology of the *U.S. News* and *World Report* law school rankings, we have consistently been ranked among the top law schools.

The S.J. Quinney College of Law sponsors and hosts an ambitious array of symposia and visiting scholars every year, including the Leary Lecture, the Fordham Debate, the Stegner Symposium, the Clyde and Rolapp Visiting Scholar series, the Legal Theory Visiting Scholar series, the Distinguished Jurist-in-Residence, and Utah Law Review Symposia. Faculty have received increased support to present papers and attend conferences. We wish to expand the college's and the faculty's visibility by hosting even more conferences and encouraging faculty to present their work in other forums.

The Quinney Foundation has been making generous payments on its endowment pledge, and this resource will help address some of the key challenges noted above, such as library funding, student financial aid, endowed professorships, and support for academic programs. Along with additional funding sources, the college needs to continue building support for curriculum enhancements and scholarly research. We are also trying to increase support for our faculty's interest in presenting papers at conferences and for attracting well-known scholars to make presentations here.

The S.J. Quinney College of Law is committed to the University priority of interdisciplinary teaching and research. The Stegner Center has pursued cross-disciplinary programming since its inception. We have worked with the Colleges of Social Work and Social and Behavioral Science to establish the Utah Criminal Justice Center. A working group has been formed with faculty from law, economics, geography, history, and political science to identify common interests for teaching and research. Several law faculty are participating in interdisciplinary campus reading groups, and there are several other examples. Our recent faculty retreat reflected substantial consensus and commitment to expanding the college's interdisciplinary engagement, and we are working to do so on a variety of fronts.

Summary

Commendations

The S.J. Quinney College of Law has recruited a very talented and productive faculty who will build a strong legacy for many years. The college also has enhanced its financial base for programming with the naming endowment gift of $26 million that will be fully paid within the next 10 years. The 6-year-old Pro Bono Initiative serves students' educational and service interests and benefits the community. As the American Bar Association accreditation and Graduate Council reviews noted, the college offers a highly favorable student/faculty ratio and sound and improving curriculum to a talented and supportive student body. The Wallace Stegner Center anchors a strong environmental and natural resources program, and the college has been successful in student recruitment and placement. Efforts at interdisciplinary program development have met recent success in the formation of the Utah Criminal Justice Center.

Challenges

The biggest challenge is the inadequacy of the current facilities, which is preventing the program growth and enhancements that are needed to reach the college's full potential. The college has completed a space needs and venue assessment for a new building, has prepared a draft case statement, and is planning for the building to be the centerpiece of an upcoming capital campaign. Although the college has been successful in faculty and student recruiting, this area will be a continuing challenge in the years ahead. Building the national and international reputation of the S.J. Quinney College of Law is a welcome challenge, and the college community is committed to fulfilling that goal.

School of Medicine[2]

Central Aims and Purposes

The central aims of the University of Utah School of Medicine are to work in conjunction with other components of the Health Sciences Center and University to serve the public by improving health and quality of life through excellence in education, research, and clinical care. The School of Medicine is responsible for the predoctoral, graduate, and continuing education of physicians; the graduate and postdoctoral education of biomedical scientists; and the training of certain other health professionals. The school emphasizes high quality programs that address national priorities, such as the need for generalist and academic physicians, rural practitioners, basic biomedical scientists, and selected medical subspecialists.

[2] All exhibits referenced in the School of Medicine section are located in the college self-study.

Description

The University of Utah School of Medicine was established in 1905 as a 2-year medical school. In 1941, the school became a 4-year M.D. degree-granting institution. The School of Medicine offers the following degrees: Doctor of Medicine, Doctor of Philosophy, Master of Philosophy, Master of Physician Assistant Studies, Master of Public Health, Master of Statistics in Biostatistics, Master of Science in Public Health, Master of Science, and Bachelor of Science in Medical Laboratory Science. For a complete description of the degree programs and a list of the School of Medicine departments, please refer to our Web address: *http://www.acs.utah.edu/GenCatalog/deptdesc/medicine.html*.

The School of Medicine was reaccredited by the Liaison Committee on Medical Education in 2004 for the maximum 8-year period. The institutional self-study performed for that reaccreditation process is found in Medicine Exhibit A and provides an excellent comprehensive review of the school.

The School of Medicine is comprised of six basic science departments and 16 clinical departments. Brief descriptions of these departments can be found in Medicine Exhibit A, pp. 19-22. The basic science departments are Biochemistry, Human Genetics, Neurobiology and Anatomy, Medical Informatics, Oncological Sciences, and Physiology. Detailed descriptions of the departments are available in Medicine Exhibit B. The clinical departments include Anesthesiology, Dermatology, Family and Preventive Medicine, Internal Medicine, Neurology, Neurosurgery, Obstetrics and Gynecology, Ophthalmology and Visual Services, Orthopedic Surgery, Pathology, Pediatrics, Physical Medicine and Rehabilitation, Psychiatry, Radiology, Radiation Oncology, and Surgery. Detailed descriptions of these departments are also available in Medicine Exhibit C. In addition, the School of Medicine has interdepartmental programs to meet the multidisciplinary nature of today's training needs: molecular biology program, neuroscience program, and biological chemistry program.

In fiscal year 2004 (the last year for which complete data are available), the School of Medicine had total operating expenditures of $443.2 million, with operating revenue of $24.6 million from state appropriations and tuition, $147.5 million from research, $254.1 million in clinical revenue and $17.0 million in gifts. In the same year, there were 906 faculty, 2,124 staff, 560 residents, 411 medical students, 442 graduate students, and 83 undergraduate students in the school.

The current core facilities of the school include the School of Medicine Building, University of Utah Hospitals and Clinics, Eccles Institute of Human Genetics, Biopolymers Building, Huntsman Cancer Institute and Hospital, University of Utah Neuropsychiatric Institute, University Orthopedic Center, Moran Eye Center, and many other educational and research settings throughout the campus and community. New educational space has been realized with the opening of the 158,000 square foot Health Sciences Education Building that provides state-of-the-art classroom, computer, laboratory, and clinical teaching settings. The Emma Eccles Jones Research Building has opened and the new Moran Eye Center II is currently under construction. Additional clinical training facilities are located throughout the community and the Intermountain West (see Medicine Exhibit A, pp. 26-29).

The administrative structure of the School of Medicine is illustrated in Medicine Exhibit D. The dean of the School of Medicine reports to the Senior Vice President for Health Sciences/executive dean, who in turn reports directly to the President of the University.

Significant Changes

The curriculum of the School of Medicine was revised in 1996 and again in 2003 and reflects a continuum of learning. This continuum spans the formal settings of undergraduate education, medical school, and postgraduate training and extends to life-long learning once our graduates enter their careers. Educational objectives expose students to the variety of experiences necessary to make an informed career choice and ensure that they have the knowledge base, skills, and values to become competent physicians. With each school objective, the assessment tools used to determine student achievement are listed.

These objectives have been distributed to all students, faculty members, residents, and others responsible for teaching. They are also included in both the *Student Information Handbook* (Medicine Exhibit G; *http://uuhsc.utah.edu/som/studentaffairs/handbook.pdf*) and the *Faculty Teaching Handbook* (Medicine Exhibit H).

Analysis and Appraisal

The school's Curriculum Steering Committee has just completed a year-long process of collecting detailed information about the extent and location of coverage of each objective in each course in the curriculum.

An overview of this compilation in Table 2.10 suggests adequate coverage of all objectives.

Definitions: *1st level coverage*: material presented with the assumption that students have no or minimal background education on the topic, and it is being taught at the introductory level. Students should be able to demonstrate simple knowledge of the concepts at the end of the course. *2nd level coverage*: material has been presented in prior courses during medical school, and this is secondary exposure to expand the students' knowledge and understanding. Students should be able to apply the knowledge in similar and new situations, and begin to analyze differences among alternative situations in using the knowledge. *High level coverage*: material has been presented in multiple prior contexts, and students are expected to gain a high level of mastery of the material. Students should be able to synthesize the knowledge into new paradigms, create their own perceptions, and teach these concepts to others.

These raw data suggest that all our objectives are covered extensively in the curriculum. The committee is now in the process of analyzing these data and identifying opportunities for better coordination of coverage and progressive depth of coverage over the course of medical

Table 2.10: Course Coverage of Program Objectives: School of Medicine

Objective set	Courses with 1st level coverage	Courses with 2nd level coverage	Courses with high level coverage
Basic science knowledge	19	25	1
Clinical science knowledge	19	21	4
Patient context	10	21	1
Health care delivery	9	5	0
Legal/ethical issues	18	10	1
Health promotion	16	11	1
Community health	11	7	1
Clinical skills	6	15	10
Patient management	14	18	8
Communication	7	20	11
Information management	9	14	7
Application of research	11	17	2
Patient education	11	22	1
Respectful attitude	6	13	11
Cooperative attitude	12	11	10
Self-awareness	10	15	8

Closing the Loop: Improving Medical Education

In 1996, the School of Medicine implemented a new set of learning objectives for students seeking an M.D. degree. A major revision of these objectives was initiated in the fall of 2002. The objectives in place prior to 2002 were felt to be comprehensive, but inclusive of a number of redundancies and philosophical statements that were felt to be neither discretely observable nor measurable. The new revision involves elimination of redundancies, removes content that merely describes the school's mission and institutional purpose, and better defines both the objectives and the manner in which they are to be assessed. The final version of this revision was extensively discussed and approved by the Curriculum Steering Committee and approved by the Executive Committee in May 2003.

education. Over the next year we also plan to determine the effectiveness of assessment tools used to assure student fulfillment of the objectives, refine the objectives themselves, and reform our educational process to meet our objectives more effectively.

Curriculum Assessment

Currently, there is an active process for review of the school's curriculum. All required courses and clinical clerkships are reviewed annually by a Coordinating Curriculum Committee assigned to the year in which a course is taught. The chair of the department responsible for the course and the course master for each course receive a copy of the annual review and are encouraged to make improvements within each course.

Overview of the entire curriculum and student outcome is the responsibility of the Curriculum Steering Committee and the school's administration. The reviews of each course result in ongoing modifications in courses in discrete areas including course objectives, structure, faculty expertise, student assessment, and responsiveness of the course to recommendations for change it received the previous year. Major revisions, including replacement of course masters, have been undertaken on the basis of these committee deliberations.

The graduate questionnaire, an anonymous survey required of all graduating medical students at our school and at most other medical schools, is conducted annually by the Association of American Medical Colleges. Data from this survey each year identify graduating student perceptions about areas of redundancy and inadequacy in the curriculum, faculty effectiveness, supportiveness of the school administration, student abuse, and student indebtedness. The Curriculum Steering Committee reviews this document each year in assessing overall curriculum.

Student Assessment

Our current assessment approaches include several parameters.

• *Individual Course Performance*

During the preclinical years, multiple choice examinations are still the primary method of assessing students' knowledge base in the basic sciences. However, consistent with the institution's goals emphasizing self-directed learning, more and more courses are including in the students' grades work in problem-based learning sessions. A second year observed clinical skills examination is utilized as a measure of the students' grasp of clinical behaviors and skills. Direct observation by small group facilitators is the primary method of assessing attitudes in the preclinical years. Discussions

Closing the Loop: Increasing Student Performance on USMLE Step 1 Exams

School of Medicine faculty have noted over the past several years that students' performance on this exam has declined slightly when compared with the rest of the country. In response to this, the school established a position within the administration for a director of learning resources, a position filled by an individual with an advanced degree in education who works both individually and collectively with students to improve performance.

about appropriate methods of assessment occur regularly at the Coordinating Curriculum Committee since that year's curriculum consists of short courses that rely on a single examination to assess students' knowledge base.

During the clinical years, students are assessed in the areas of clinical knowledge base, skills, and professional attitudes using standardized faculty evaluation forms, a written examination, and a clinical skills examination for each discipline they study. In addition, at the end of the third year, another comprehensive clinical skills examination is a crucial assessment component of the third year curriculum.

• *National Board Performance*

Medical students take comprehensive national examinations conducted by the National Board of Medical Examiners at the end of the second year (United States Medical Licensing Examination [USMLE] Step 1) and at the end of the third year (USMLE Step 2). As of 2005, Step 2 consists of two exams: Step 2CK, a written examination to test knowledge, and Step 2CS, to test clinical skills. Our school's performance over the past 5 years is shown in Tables 2.11 and 2.12.

Our performance on this exam has been stable. With improved skills, as noted above, we anticipate improvement in the future. Beginning in 2005, we will begin using the STEP 2CS examination. On this first experience, our students appear competent relative to other students. We will be monitoring this examination year by year to establish areas of concern and mechanisms for improvement.

• *Placement of Students in Residencies*

Table 2.13 shows the residency placement rates for the period 1999-2005.

Our ability to place students in good quality residencies has been rewarding and consistent over the years reviewed.

Table 2.11: Student Performance on USMLE STEP 1 Exams: School of Medicine

Year	Number Examined	Percent Passing	Mean Total Score	National Mean Total Score
2005	97	90	214	217
2004	104	85	211	216
2003	99	89	213	216
2002	101	85	212	216
2001	103	92	216	215
2000	101	92	219	215
1999	94	94	214	215

Table 2.12: Student Performance on STEP 2CK Examination: School of Medicine

Year	Number Examined	Percent Passing	Mean Total Score	National Mean Total Score
2005	84	92	212	220
2004	106	89	211	218
2003	106	92	213	216
2002	91	96	217	216
2001	95	91	213	215
2000	109	95	209	213
1999	98	96	211	210

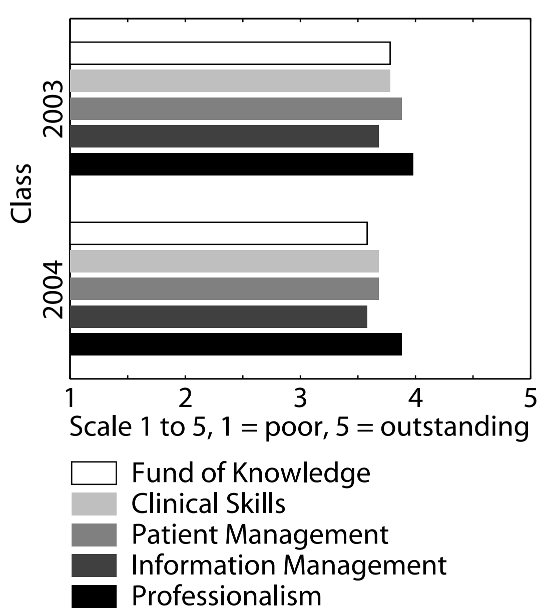
Table 2.13: Placement in Residencies: School of Medicine

Year	Number Seeking Residency	Number Matched
2005	95	95
2004	99	99
2003	100	96
2002	101	101
2001	83	83
2000	100	100
1999	96	96

• *Survey of Residency Program Directors on our Student Performance*

Historically, the school has relied upon USMLE scores and the Association of American Medical Colleges graduation questionnaire to assess the success of our curriculum. We have recently expanded that evaluation to include a survey of the residency program directors supervising the school's graduates who were in their internship year in 2003-04 and 2004-05. The questions on the survey directly reflect the school's curriculum knowledge, skills, and attitudes objectives. Over 90% of the surveys were completed and returned both years. The data were analyzed for the individual student's average score, as well as the class average, standard deviation, and median score on the 1-5 scale for each question. These data were presented and discussed at the Curriculum Steering Committee. The mean and median scores on each of the questions were between 3.6 and 4.0. Figure 2.9 shows the results of residency program directors' survey responses.

Figure 2.9: Residency Directors' Evaluation: School of Medicine



• *Board Certification*

We have compiled information on the number of former graduates of our school who become board certified after completing postgraduate education. Between 85 and 90% of our graduates consistently do so. We do not have a plausible mechanism for determining reasons why some graduates do not. We also have no national trend information to compare our school with others.

• *Reaccreditation*

The School of Medicine went through the reaccreditation process in 2003 and received accreditation for a period of 8 years. The evaluation of the site visitors with the strengths and weakness of the school is found as Medicine Exhibit E.

• *Graduate Council Review*

The six basic science departments in the School of Medicine undergo regular review by the University Graduate School. Clinical department reviews are conducted on a regular basis to assess the accomplishments and the needs of the individual departments. This review also serves as a formal review of the leadership provided by the department chair. All essential features of the department are addressed in the review: physical space, budget, clinical enterprise, research, and training programs. The residency programs are not examined in-depth because these are reviewed independently by the appropriate residency review committees. Brief summaries of the strengths and weaknesses identified in recent individual department reviews are in the departmental descriptions in Medicine Exhibit C.

Faculty Achievement

In 2003, we established a formal Medical Scholars Program as a faculty development tool. We have now trained 21 individuals in this competitive program. All are successful as teachers, and several have presented research studies on topics in medical education at regional and national meetings. This group also has produced a number of publications. A new class of six scholars for the current academic year has been selected and will start the program this fall. Faculty performance as rated by students in individual courses has been high.

Challenges

Specific departmental challenges and actions to address are described in Medicine Exhibits B and C. We have used the recent Liaison Committee on Medical Education (LCME) reaccreditation process to identify potential areas of improvement. Specific actions taken to address the issues raised are detailed in the response to the LCME of August 2005 (Medicine Exhibit F). To briefly summarize, we have established specific criteria for clinical experiences in all of our clinical clerkships. We are now providing specific oversight in the assignment of faculty preceptors. We have completed an extensive evaluation of our curriculum, as mentioned above, and have empowered the Curriculum Steering Committee to coordinate and improve the curriculum. We are also initiating preliminary steps to totally reevaluate and reform our curriculum. We have taken specific steps to improve student and faculty support.

Since the LCME evaluation, we have also successfully recruited outstanding new department chairs for the Departments of Medical Informatics, Orthopedic Surgery, Pathology, and Physiology.

A common theme among the challenges facing our departments has been space constraints. This is being addressed by the largest expansion of physical facilities in the history of the school. New educational space (Health Sciences Education Building), research space (Emma Eccles Jones Research Building, Moran Eye Center II), and clinical facilities (Huntsman Cancer Hospital, Orthopedic Center, Critical Care Pavilion) have opened or are under construction.

A common problem of academic medical centers and schools of medicine is the reliance on clinical income to fund the educational and research missions. We, too, have this reliance, but we have recently been able to obtain increased state funding, which has been distributed according to educational effort to the departments. Our clinical enterprise continues to grow and provides the revenue and patient care opportunities required to achieve our educational and research objectives.

We are concerned about the future of our research funding because of changes at the federal level, specifically the National Institutes of Health, that suggest funds for biomedical research will be limited. We have initiated a program to support interdisciplinary research, including substantial seed grants, to identify potential areas of programmatic research growth.

Summary

Commendations

Among the items of which the School of Medicine is proud are the following: The School of Medicine's leadership has outlined institutional priorities and allowed a collaborative health sciences center approach to achieving its goals. It has successfully implemented mission based management, resulting in financial and programmatic stability. The school is proud of an excellent faculty who are productive in the areas of clinical activities, research, and education. In addition, the Medical Scholars Program is proving to be a valuable faculty development tool. Finally, new state-of-the-art educational facilities enable innovative curriculum changes, and new research facilities provide much needed space for investigation.

Challenges

Among the challenges facing the School of Medicine is the requirement that our objectives for clinical education must include quantified criteria for the types of patients, the level of student responsibility, and the appropriate clinical settings needed for the objectives to be met. This has required that each clerkship director identify the numbers of types of patients to which students should be exposed and we are now in the process of monitoring student exposure and developing processes to assure that each student receives the appropriate educational experience.

Another challenge is the need for an integrated institutional responsibility for the overall design, management, and evaluation of a coherent and coordinated curriculum. This entails an extensive evaluation of our curriculum (ongoing) and work for the Curriculum Steering Committee to coordinate and improve the curriculum.

A third challenge is the decrease in federal funding that threatens our research mission. To help counter this, we have encouraged investigators to go beyond individual research programs to form new collaborative research programs. We are funding such programs through $100,000/year "catalyst grants" to encourage interdisciplinary research.

The final challenge is the decrease in reimbursement for clinical activity that poses a serious threat to the financial viability for academic medical centers. In response, we have just completed a comprehensive clinical strategic plan to enhance and expand our clinical activities in a responsible and cost-effective way. The size of our clinical faculty continues to increase to meet these needs.

College of Mines and Earth Sciences

Central Aims and Purposes

In concert with the University's mission, the central aims of the College of Mines and Earth Sciences are to provide undergraduate and graduate instruction and carry out research in earth sciences, metallurgical engineering, meteorology, and mining engineering. Learning objectives are to provide students with a sound knowledge of fundamental principles and factual information in their respective disciplines so that they are prepared scholastically and ethically for professional careers and the pursuit of advanced degrees and as contributors to public life. Instruction includes courses for majors and also for nonmajors, the latter satisfying the University basic science requirement. Regular tenure-track faculty members teach most courses, including most large nonmajors courses, normally with assistance from two or three lecturers. The faculty considers teaching a top priority, and many faculty members have received campuswide teaching awards. The faculty brings significant external funding to the University, and most College of Mines and Earth Sciences faculty publish regularly in refereed national and international journals.

Description

The college offers strong academic programs and produces undergraduates who are competitive in the job market and accepted at top-quality graduate programs. Our graduate students go on to successful careers, and a significant number of them have secured academic positions in respected schools across the country and abroad. In addition, the college houses the University of Utah Seismograph Stations, a research, educational, and public-service entity within the Department of Geology and Geophysics. The University of

Utah Seismograph Stations operate a 100-station regional seismic network serving the populations of Utah, eastern Idaho, and western Wyoming, communicating locations, magnitudes and ground motions of earthquakes to federal, state, and local emergency relief agencies.

The College of Mines and Earth Sciences consists of four academic departments (Geology and Geophysics, Metallurgical Engineering, Meteorology, and Mining Engineering) and the University of Utah Seismograph Stations. The academic departments offer Bachelor of Science, Master of Science, Master of Engineering, and Doctor of Philosophy degrees. A complete description of departmental majors, minors, requirements, and course offerings, including degree objectives, is given at *http://www.mines.utah.edu/* under the department of interest. Examination of materials on these Websites demonstrates that the curricula designed for each major provide a coherent set of courses for achieving the educational goals of the program. Our three engineering undergraduate programs (geological, metallurgical, and mining) are fully accredited by the Accreditation Board of Engineering and Technology (ABET) of the Engineering Accreditation Commission. There are approximately 360 undergraduate and graduate students in the college, and more than 1,000 students enroll in general education science courses each year. The college has 43 tenure-track faculty, 2 lecturers, 16 research faculty, and 45 adjunct faculty. Of the tenure-track faculty, 2 serve as deans but maintain full teaching loads. Five are women, and 2 share appointments with other departments (Biology and Utah Museum of Natural History). All faculty have earned doctoral degrees, and all teach in areas of their training and expertise. Academic departments and the dean's office employ 43 staff members to assist with its teaching and research mission: 15 are involved in administration as administrative assistants, accountants, and secretaries, 5 assist with maintaining network and computing facilities, 4 assist with technical aspects of research, and 8 are research associates. In addition, University of Utah Seismograph Stations supports 2 administrative staff, 2 technical staff, and 4 computer professionals.

Space for the college's activities is located in 11 reasonably proximate buildings in the northwest quadrant of the University campus. Faculty offices are maintained in the Intermountain Network Scientific Computation Center (INSCC) and the William Browning Building; teaching space is maintained in the William Browning Building, the Mines Building, INSCC, and the Engineering and Mines Classroom Building; research space is provided in the Mines Building, William Browning Building, INSCC, Engineering and Mineral Research Lab, Kennecott Research Center, Building 58, and Building 59. All departments maintain computing laboratories for instruction, having outgrown the single laboratory previously maintained by the college. Importantly, a new 95,000 gross square foot building for the Department of Geology and Geophysics has been approved for construction and is scheduled for occupancy in fall 2008. Completion of this structure will allow departmental programs to be housed in far fewer buildings, with a concomitant increase in faculty-student interaction.

Significant Changes

From 2000 to 2005 eight senior faculty members retired (218 years aggregate service). Also during this period three faculty members resigned to accept more lucrative positions in academia and/or industry (26 years of aggregate service). With one exception, all vacant positions have been filled, and a search is underway to fill the newest vacancy. Thus, over one-quarter of the regular faculty began their service since 2000. Following a precipitous decline in student numbers between 1997 (387 total) and 1998 (296 total) when the University calendar changed from quarters to semesters, enrollment has recovered to 360 students. During this period, the college experienced sharp budget cuts at the hands of past-president Machen, resulting in small FTE reductions from state sources for many faculty. These reductions were funded by monies raised through development so that faculty FTE did not decrease, nor was there any decrease in the amount or quality of instruction or research. As a result of retirements and filling positions with junior rather than senior faculty, most of the state-supported FTE has been regained at lower cost. Also during this period, funds have been raised from private sources to begin construction of two new buildings — a research facility for the Department of Metallurgical Engineering and the Sutton Building, a classroom and laboratory building for Geology and Geophysics. On 30 June 1996 endowed accounts held by the college had a value of $22.1 million, whereas on 30 June 2005 those accounts in addition to new accounts had a value of $37.3 million, a growth of $15.2 million. These funds include $11 million in funds for the Sutton Building; income from the other funds is used to support faculty and students in the college through scholarships and fellowships, travel assistance, equipment purchases, and lectures from prominent outside scientists and engineers. The College of Mines and Earth Sciences provides considerable support to students through private and corporate donations: in 1999-2000, the college and its departments provided $231,454 in scholarship and fellowship aid to its students, whereas in 2004-2005, that support amounted to $532,938, an increase of $301,483 (130%).

Analysis and Appraisal

Different appraisal mechanisms are used depending on department or program (see Table 2.14). The indicators used are student course evaluations, Graduate School departmental reviews, 5-year reviews of tenured faculty, ABET accreditation reviews (each 6 years) for the three engineering programs (see self-study report for ABET Accreditation available in the college dean's office), alumni surveys, employer surveys, performance on fundamentals of engineering examinations, and exit interviews with seniors. The fundamentals of engineering exam is a national testing tool to determine preparation in common and discipline specific engineering subjects. It is a requirement for graduation in geological engineering and mining engineering.

Qualitative measures are also used in assessment including awards received by faculty and students (see College of Mines and Earth Sciences Self-Study Appendix). We are proud not only of achievements and service by our faculty but also of accomplishments by our students. Many junior and senior students participate in a research experience with a faculty mentor, and several undergraduates have presented papers at national meetings of professional societies. Some results of these assessment processes are discussed briefly below.

Table 2.14: Assessment Measures in the College of Mines and Earth Sciences

	Geol. & Geop.	Metal. Eng.	Mining Eng.	Meteo.
Graduate School reviews	x	x	x	x
Student course evaluations	x	x	x	x
Pentennial tenured faculty review	x	x	x	x
ABET accreditation	x	x	x	na
Senior exit interviews	x	x	x	
Alumni surveys		x	x	
Employer surveys		x	x	
Fundamentals of engineering	x		x	na

• *Faculty Achievement*

College of Mines and Earth Sciences faculty are outstanding in their disciplines as evidenced in several ways.

- One professor is a member of the National Academy of Sciences, one a member of the National Academy of Engineering, and another a member of the Russian Academy of Natural Sciences.
- One faculty member has written the standard text on applications of electromagnetic phenomena to geophysics. A second has coauthored a very popular book on the Yellowstone geoecosystem.
- Five faculty have received the University's Distinguished Research Award, three have received the University's Distinguished Teaching Award, two are Distinguished Professors, a rank reserved for the most accomplished scholars at the institution, and one is the recipient of the University Early Career Teaching Award.
- As a whole the faculty has published approximately 605 articles in books and refereed journals since the year 2000, presented at no fewer than 18 national conferences, and served on a combined total of 12 editorial boards in the field. From 2000-2005, faculty averaged three publications per year (extremes being 0 and 20 publications per year).
- Two faculty serve on the grant review boards for the National Science Foundation.
- Between 1 July 1996 and 12 September 2005, the college faculty has attracted a total of $37.4 million in grant funds.
- Two faculty have very successful industrial consortia that provide support to graduate students and research faculty.

Given the small size of the college, its success with external funding is remarkable.

• *Heptennial Graduate School Reviews*

Every 7 years, The Graduate School conducts a thorough review of each academic program utilizing internal and external review committees. All departments in the college have been reviewed since 2000. The greatest strength noted by internal and external reviewers is that the college has a strong, dedicated, active faculty with a high degree of collegiality. Faculty governance is pervasive and successful, and nearly all faculty are active scholars and dedicated teachers. External professional disciplinary service by the faculty is prominent and commendable. Most departmental research programs are strong and attract healthy external support. The academic programs are rigorous and prepare students well for future careers. Students remark positively on the personal attention they receive and appreciate involvement in research programs.

A principal weakness is that the college could handle far more students than are enrolled in its programs. Graduate enrollments have increased, but it has proven difficult to attract undergraduate students. In addition, many reviewers have remarked negatively about fiscal problems (which in part stem from low enrollments) within the college, including level of faculty compensation, salary compression, and availability of funds for instructional equipment. Also of concern are facilities available to the college, particularly the Mines Building, a 70-year-old structure in which environmental controls are sorely lacking.

Recommendations flowing from these sources have resulted in several changes within the college over the period considered here:

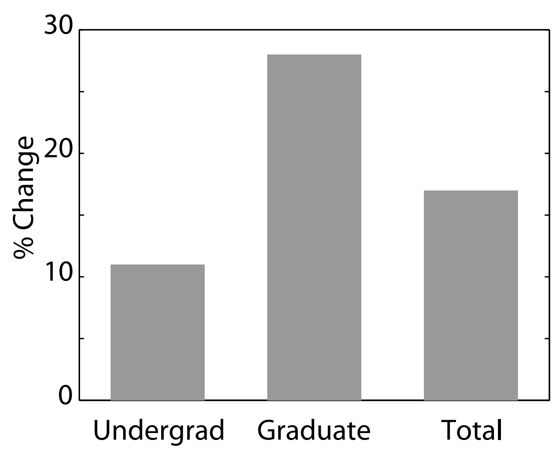
- one faculty position was transferred from the Department of Metallurgical Engineering to Meteorology in order to distribute teaching loads more evenly among faculty in different departments.

Closing the Loop: Improving Enrollments

Several recent assessments have identified the importance of increasing enrollments in order to enhance resources and strengthen the college. Several steps were taken to address this challenge. For example, the Department of Geology and Geophysics began the WEST (Water, the Environment, Science and Teaching) program, funded by the National Science Foundation, which pairs graduate students with public school teachers to improve their curriculum and stimulate interest in earth science. Although results will not be seen for some time, this is a positive step toward preparing students for careers in our disciplines. In addition, the Department of Geology and Geophysics has created an earth science composite teaching major and a petroleum industry career path within the department, and it has obtained full accreditation for the geological engineering program. In an effort to bridge disciplines and schools, it has created the Center for Water Ecology and Climate Science. See Figure 2.10 for a summary of enrollment increases between 2000 and 2005.

- in the Department of Meteorology, salaries have been increased for associate professors (a deficiency noted by the Graduate Council).
- the Department of Meteorology appointed an outstanding research faculty member in mountain meteorology who has already attracted significant external funding and added to an existing strength of the department.
- in addition, undergraduate enrollment in the Department of Meteorology has increased from 58 to 100 between 2000 and 2005.
- through dedicated work, the Department of Metallurgical Engineering has increased its total enrollment from 59 to 81 over the same period. As part of this process, the Department of Metallurgical Engineering has also increased its funding for scholarships through private donations, and it has established a networked PC laboratory for instruction. Further it has upgraded and acquired new instrumentation for its research efforts.
- despite significant effort, enrollment in the Department of Mining Engineering has declined from 47 to 37 students although current demand for mining engineers is quite high, and beginning salaries are amongst the highest of any engineering discipline. In order to make its offerings more attractive, the department has built a new instructional computer laboratory and has completely revamped its rock deformation apparatus used in rock mechanics courses.
- the Department of Geology and Geophysics has consolidated three individual degree programs (geology, geophysics, and environmental earth science) into a single B.S. degree in geoscience. In keeping with the increasingly interdisciplinary character of

Figure 2.10: Enrollment Increase in College of Mines and Earth Sciences 2000-2005



the earth sciences in the 21st century, the new degree emphasizes the commonalities among the various subdisciplines rather than their differences. The revised curriculum provides more flexibility in designing programs to meet individual student needs. In addition, transfer students will be much better served by the reorganization of the program.

Curriculum in all departments is under constant review, and adjustments are made as warranted. A difficult problem to address in this regard is to maintain courses in programs that prepare students for their careers but are not perceived by all faculty as being essential to the major course of study. Anecdotal evidence, for example, suggests that some students leave the Department of Geology and Geophysics because of the rather stiff math requirements. As funding "on the margin" is based on student credit hour production, there is a natural inclination to want to increase student numbers, but the faculty have resisted softening requirements solely for potential financial gain.

Pentennial Tenured Faculty Reviews

As mandated by University policy, tenured faculty are reviewed on a 5-year cycle. During the past 6 years, 24 faculty were reviewed, and 6 were encouraged to improve their performance in one area or another. In most instances, the advice centered on supervision of graduate students, research productivity, and efforts at securing funds for research support. Clear improvement is discernible in five of those cases, though further monitoring and encouragement are certainly warranted. Overall, this assessment process appears to be beneficial in improving our programs and in guiding faculty into more productive modes benefiting the institution as a whole.

Closing the Loop: Using Senior Exit Interviews

Three departments conduct exit interviews with seniors, and have done so for many years to learn their view of their educational experiences. In general these interviews reflect positively on the departments, but they have also identified some areas needing remediation. For example, prior to this review period, student comments about the teaching of a junior faculty member were severe enough that the individual was not retained. The instructional computing facility established in Department of Metallurgical Engineering came about in part because seniors suggested that it would materially improve their experience.

ABET Accreditation Reviews

These reviews require thorough documentation and examination of instructional facilities available to students, faculty performance, and curriculum. In preparation for these reviews, program requirements are thoroughly documented, course materials are reviewed for appropriateness and rigor, student records are closely examined, and attention is paid to instructional equipment and computers. That all programs passed the accreditation reviews with few concerns expressed by the accreditation team is evidence enough of the value of this assessment tool. The reviews serve to keep faculty and staff constantly alert to any matters that might present problems.

Senior Exit Interviews

As noted above, graduating seniors are interviewed by faculty in various departments. Sometimes the information gleaned leads to needed improvements. Input from senior interviews as well as from the department student advisory committee was useful in the redesign of the Department of Geology and Geophysics curriculum. At the same time, in all programs, students believe that some courses, particularly in allied fields, are extraneous. Their notion is sometimes contradicted by information gleaned from alumni surveys, who find those same courses of exceptional value in their professions.

Alumni Surveys

Two departments conduct alumni surveys through direct mail, or via the Web, in general attempting to learn what courses are viewed as important to alumni in their careers, and also to learn if alumni believe they were well prepared in important topics. Results are used to improve the curriculum. For example, in the Department of Mining Engineering two courses were removed from the curriculum (Particle Dynamics and Electrical Engineering II) to make room for greater emphasis on mining methods and power distribution—subjects that were judged by the alumni to be of more importance. Informal information from alumni is also considered in making curricular decisions.

Student Course Evaluations

Consistent with University policy, students complete course evaluations each semester in every course. Results of these evaluations provide information to the individual faculty member and to the department chair. Also, retention, tenure, and promotion committees give serious consideration to student course evaluations in their deliberations, and more than one case has been negatively decided because of poor performance in teaching. Scores on course evaluations within the college are normally at or above the mean for the University, which is reflected in the large number of University-wide teaching awards. Scores tend to be lower in general education offerings and higher in classes taken by upper division or graduate students.

Employer Surveys

Employers identify effective written and oral communication as areas that could be improved in the Department of Mining Engineering. As a result, instruction has been included in effective oral communication in weekly seminars, graduate students are required to make one formal presentation each semester, and undergraduate students participate as speakers in several courses. The department is considering implementing a course that will satisfy the University upper division writing/communication requirement.

Fundamentals of Engineering Examination

Although numbers are small, the pass rate on the fundamentals of engineering examination for students in the Department of Mining Engineering is 80%, compared to a pass rate of 60% for mining engineers from other institutions. This indicates that the Department of Mining Engineering is achieving its educational objectives. There are insufficient data for graduates in the geological engineering program.

Additional Information

Besides the metrics discussed above, departments gather data on the success of their graduates in finding employment, in continuing their education, and in becoming educators themselves. Self-reporting is involved in these data, and the return rate is only ~75%, which must be borne in mind when analyzing the information. Results of these measures are shown in Table 2.15 for the period 2000-2005 in terms of the percentage of students who accept employment and those who continue their education. It is worth noting that over 80% of our graduates accept employment closely related to the discipline in which they studied.

Table 2.15: Graduates' Success in Finding Employment 2001 - 2005: College of Mines and Earth Sciences

	Nonacademic Employment	Academic Employment	Further Education
2001-2002	64%	16%	20%
2002-2003	71%	17%	11%
2003-2004	59%	16%	25%
2004-2005	87%	7%	7%
4-yr average	70%	13%	16%

We view this as quite strong evidence that our educational objectives are being met.

Summary

Commendations

- The College of Mines and Earth Sciences has a high quality faculty with an international reputation for its accomplishments in research and scholarship. These same faculty participate fully in the instructional program, and many have received University awards for excellence in teaching. The faculty are productive and conduct strong research programs that attract significant external funding.
- The college offers rigorous academic programs that prepare students for further education and future careers. Through an aggressive development effort, the college is able to provide significant financial aid to its students. Student opinion is regularly solicited and incorporated into program planning. Students report that they are very satisfied with their individual degree programs and their overall educational experience at the University.

Challenges

The principal challenges to the college are threefold: enrollment, space, and financial support.

- Although there has been a steady increase in the number of majors over the past 5 years, the college is still slightly below enrollments of a decade ago. Actions taken over the past several years have contributed to steady growth, but continued attention to this issue is paramount. A number of efforts underway are expected to produce positive short- and long-term effects on enrollment. The WEST program, funded by the National Science Foundation, is designed to foster interaction between the University and K-12 public education in the earth sciences, and it is hoped that new students will join our programs because of that effort. A major consolidation and reorganization of three B.S. degree programs in geology, geophysics and environmental earth science is designed to provide an integrated curriculum with greater flexibility that will be more attractive to prospective and transfer students. The new Sutton Building will provide modern instructional facilities that will provide an optimum learning environment. Sharp price increases in natural resources have already caused companies involved in their extraction and utilization to look for new employees. If previous experience is any guide, this demand will lead to more students in all of our programs. Finally, the college will continue with its outreach programs and its successful development efforts to secure additional funds for financial aid for its students.
- Facilities for research and teaching have been less than adequate. Space for both research and teaching is distributed among numerous buildings, and the antiquated Mines Building is inadequate for modern instructional needs. Many of our space difficulties will be allayed when the Sutton Building is completed in 2008. Until then, current space utilization for students and faculty is under review for improved efficiency. When the building is completed, we look forward to better division of space so that faculty and students in each department

are collocated. In addition, the very presence of a modern structure should have a beneficial effect on enrollments; across the nation, schools that have modern facilities in earth sciences are better attended than those that do not.

- Fiscal challenges include level of faculty compensation, salary compression, and funds for instructional equipment. In part these stem from low enrollments. Increased enrollments will have a beneficial effect on financial resources available to departments in the college. Nonetheless, experience has shown that complete reliance on state funding for our needs is foolhardy; thus the college will continue to seek funds for endowment of faculty positions, equipment, scholarships, fellowships, and faculty support. Our efforts will dovetail nicely with a major capital campaign being planned by the University as a whole, and it is our hope that we can emerge with at least one endowed chair in each department, and an additional endowed chair in those departments already fortunate enough to have acquired one. Further, with many new young, energetic faculty in our ranks, it is expected that research grants will increase in number, so that more graduate students can be supported. Initiatives that reach out to other related disciplines are already under way, and we intend to continue these efforts in the years ahead as well as to assess their success.

College of Nursing

Central Aims and Purposes

The University of Utah College of Nursing, established in 1948, is accredited by the Commission on Collegiate Nursing Education. The College of Nursing offers a variety of educational programs encompassing doctoral, postdoctoral, master's, post-master's certificate and baccalaureate preparation in nursing as well as a master's degree and certificate in gerontology. The College of Nursing supports the mission and vision of the University of Utah and is an integral part of the University of Utah Health Sciences Center. The 2002-2005 Strategic Plan for the College of Nursing and 2005-2006 Strategic Initiatives as well as other program details are available on the College of Nursing Website: *http://www.nurs.utah.edu/*. The college's vision statement is to"*prepare leaders in nursing and health care whose actions, discoveries, and voices strengthen and transform the health of individuals and communities worldwide*."

The College of Nursing is a dynamic and evolving organization where we prepare all levels of professional nurses and scholars for diverse health care delivery and leadership roles. We offer interactive education in both nursing and gerontology. The college provides exceptional clinical care through innovative practice models. We are committed to developing knowledge that leads to improved health and quality of life.

The following four major goals form the basis for strategic planning and resource investments for the College of Nursing over the next 3 to 5 years:

Strategic Initiatives:

1. Addressing the nursing shortage and nursing faculty shortage in Utah and across the country. Currently, we are involved in several innovative collaborative student preparation partnerships designed to increase undergraduate enrollment. We are also expanding our graduate student enrollment and faculty preparation.

2. Enhancing quality and access to nursing and gerontology education through innovative technology-based delivery modalities. Currently we lead the University in programs and courses utilizing distance technology.

3. Advancing recognition for research through sustained extramural funding and collaborative activities. The College of Nursing is nationally recognized for its level of National Institutes of Health funding. The impressive growth in extramural funding has risen from $350,000 to $1,465,000 in the past 5 years.
4. Aligning our clinical and educational endeavors with Health Science Center areas of clinical emphasis and other clinical partners' strengths and interests. Currently we are serving the medically underserved through our faculty practice and community outreach initiatives.

Description

Academic Programs

The curricula for both the undergraduate and graduate programs are based on the mission, philosophy, values, and strategic goals of the College of Nursing and are in congruence with the three missions of the University of Utah. In addition, the expected outcomes of the undergraduate and graduate programs are consistent with nationally accepted standards for nursing education and nursing practice as well as state mandated standards. Table 2.16 summarizes the program offerings within the College of Nursing. The program outlines and course descriptions are described in detail in the Graduate Council program review document Section 4.3 and are also available on the University of Utah Website in the *General Catalog http://www.nurs.utah.edu.*

Learning outcomes for each of the above programs can be found in the nursing student handbooks at the College of Nursing Website: *http://www.nurs.utah.edu/students/students.htm*.

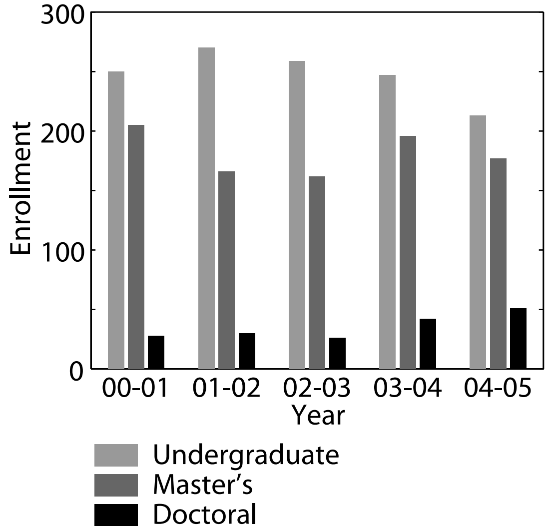
The College of Nursing understands that the preparation of professional nurses is grounded in a solid understanding of human behavior and pathophysiologic alterations affecting humans with emphasis on practices that result in increased health of the general population, including underrepresented and culturally and ethnically diverse groups, as well as cost-effective coordinated care.

Figure 2.11 shows the total enrollment of baccalaureate and graduate students for fall semester over the past 5 years. Due to the base budget cut in fiscal year 2002, admission to our baccalaureate program was capped at 50 students each semester, for a total of 100 basic students. With new state funding, we have expanded the undergraduate cohorts to 64 for a total of 128 admissions each year. The enrollment in our R.N.-to-B.S. program has steadily increased to a cohort of 64 students each year. Our transition to the four-semester upper division baccalaureate curriculum and

Table 2.16: Academic Program Offerings: College of Nursing

Baccalaureate	- Traditional	-R.N.-B.S. Online Blended Program
	- Accelerated	-Geriatric Nurse Leader Option
Undergraduate and Graduate Gerontology Certificate		
Master's in Gerontology		
	-Research and Evaluation	
	-Educational Gerontology and Life-long Learning	
	-Long-term Care and Aging Services Administration	
	-Geriatrics Care Management	
Master's in Nursing		
	-Psychiatric Mental Health	-Acute Care
	-Neonatal	-Women's Health
	-Family	-Adult
	-Community Health	-Nursing Leadership
	-Nurse Midwifery	-Nursing Informatics
	-Teaching Nursing	
Doctoral	-Traditional Ph.D.	
	- B.S.-Ph.D.	
	- Oncology Specialty Distance Ph.D.	
Postdoctoral		
	- Tailored to individual needs of Ph.D. prepared candidates	

Figure: 2.11: College of Nursing Student Enrollment



year-round study option with summer graduation decreased the enrollment count for fall 2004, but significantly shortened the program completion time frame.

Graduate enrollment has remained fairly stable. The decrease in graduate student enrollment in the 2001-02 year was due to the completion of a rural outreach grant to educate nurse practitioners in medically underserved areas. These 22 students graduated in May-August 2001 and are currently practicing in rural areas throughout the state. This federal training grant was resubmitted and funded during 2003. Growth in the doctoral program is a reflection of the addition of the distance-based Ph.D. in the oncology nursing program.

Enrollment growth targets for the coming year include 64 baccalaureate students each semester, for a total of 128. Enrollment in our R.N.-to-B.S. program will steadily increase to 64 students. Graduate enrollment for students with teaching emphasis or cognate will increase to 25 students. The total enrollment target for the master's program is 250 students. Doctoral enrollment will be maintained at 50 students for fiscal year 2006.

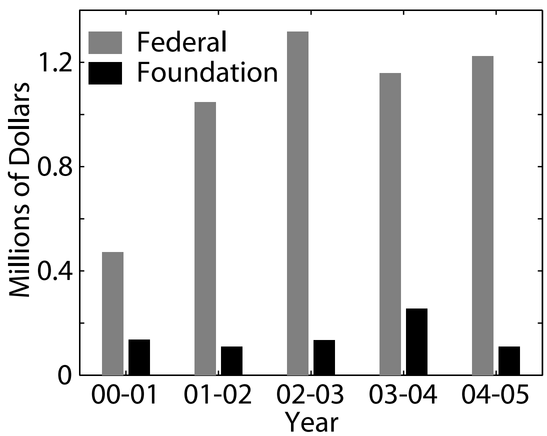
Research

The College of Nursing's research programs exist to support the scholarship of discovery and the education of graduate students in research methods to advance the science within nursing and gerontology. We are committed to developing knowledge that leads to improved health and quality of life across the age spectrum. These research programs are supported with extramural, intramural, and private foundation funding. The Emma Eccles Jones Center for Nursing Research, located within the college building, houses faculty with a major research focus as well as support staff and facilities that promote the research mission. The research mission is integrally linked to the education mission and programs and is grounded in the multiple projects conducted by faculty who have incorporated research assistants into their work. All tenure-track faculty with College of Nursing appointments are expected to show evidence of research/scholarship to meet retention, promotion, and tenure criteria. Interdisciplinary funded research projects within the College of Nursing span several foci, including cancer, aging, pain, and women's and children's health.

Currently active research investigations range from neonatal physiological studies to symptom management for cancer patients and falls in the elderly. Funding bodies include the National Cancer Institute, Amgen, University of Utah Research Committee, University of Colorado Health Sciences Center, and American Cancer Society, among others. Current funded research projects (as of spring 2005) total $9.1 million. A complete breakdown of each grant is available in the College of Nursing self-study.

Research and scholarly productivity are assessed through the number of extramurally funded grants as well as the research presentation and peer reviewed publications generated by the faculty. Recent growth in direct research expenditures is noted in Figure 2.12.

Figure 2.12: College of Nursing Direct Research Expenditures



Closing the Loop: Meeting the Needs of Different Student Cohorts

The college identified the need for different delivery mechanisms to address students whose education could not be attained through traditional arrangements. In response to these assessments, the College of Nursing began an accelerated program for students with baccalaureate degrees in other fields and created a fully online R.N.-B.S. program. Enrollments suggest that these changes have been appreciated by nontraditional students.

Practice

The practice mission of the College of Nursing supports both the educational and research missions. The college has a faculty practice plan with a variety of practice sites that allow faculty to maintain their clinical expertise and provide students a quality learning experience. Twenty-three faculty have a percentage FTE assigned to faculty practice and serve as preceptors for the baccalaureate and master's students placed at their practice sites. Faculty in the College of Nursing faculty practice plan include nine at 75-100%, four at 50-74%, three at 25-49%, and seven at <24%.

Major faculty practice sites include the juvenile justice system, grief programs, the University Student Health Center, a community center, private practice mental health services, and birthcare/healthcare midwifery services, among others. Each location serves as a student placement site. The majority of clinical education at these sites is focused on advanced practice and provides clinical experiences for nurse practitioner students and nurse midwifery students.

Significant Changes

Several significant changes have occurred in the past decade. They include:

- New dean appointment in 2001-2002: Dr. Maureen Keefe assumed leadership following the 20-year tenure of Dean Linda Amos. Dean Keefe's leadership has resulted in new directions for educational programs, strengthening of the research mission, and improved liaisons with University Hospital. In addition, the new leadership has brought a more formalized approach to long range planning: strategic planning with initiation of yearly SMART goals that are cooperatively created by faculty and administration and evaluated yearly.
- Master's and baccalaureate curricular offerings: The number of master's specialty options has decreased from 17 in 1999 to 13 in 2005 (from consolidation and discontinuance of pathways in response to market changes), but the need for diverse programs for baccalaureate education continues.
- Increased use of technology for delivery of educational programs: Every course in the College of Nursing is Web-assisted

with course materials and syllabi online; whole programs (teaching nursing master's, R.N.-B.S., and oncology specialty Ph.D.) are delivered using distance technologies such as Web CT and the Telehealth Bridge, which allows real-time interaction with distance students. Additionally numerous courses within the B.S. and M.S. programs are fully Web-based.

- Revision of thesis/nonthesis and comprehensive examination requirements: The faculty-intensive required nonthesis project was replaced with a synthesis course that contains an integrative final project or paper. Factors such as utility for learners and the nursing community led to the deletion of this requirement. The synthesis course, taken in the final semester of the master's program, will also include both written and oral syntheses of research, theory, and practice that will meet the requirements of The Graduate School for the comprehensive examination.

- Improved integration of the College of Nursing within the health sciences system: Nursing leadership in the University of Utah Hospitals and Clinics and the College of Nursing encouraged greater joint participation and collaboration with the Health Science Center. A variety of joint ventures for baccalaureate students to work within the University of Utah Hospitals and Clinics facilities were cooperatively developed through the University of Utah Nursing Alliance. These included a student nurse internship program that provides financial support and guided learning opportunities for baccalaureate students, a postbaccalaureate residency program, and the development of the clinical faculty associates role for nursing staff.

- Growth of research mission and creation of five endowed chairs (with subsequent decreased dependence on state funds): In 1996-97, less than $80,000 in grant awards was obtained, with no National Institutes of Health funding awarded. In 2005, the College of Nursing had extramural research awards totaling over $1,335,158. Our National Institutes of Health ranking for the last 3 years has ranged from 21st-38th, among 96 ranked colleges of nursing. In 1997 nearly 60% of the budget came from state funds. Within the last 10 years, funds sufficient to support five endowed chairs have been secured, and an additional endowed chair has been created through a planned gift.

- Creation of new administrative positions and infrastructure to facilitate the College of Nursing's mission: Because of the increasing complexity of baccalaureate study options, the need to examine and evaluate the use of technology for education, complexity of master's curricular offerings within the College of Nursing, and the integration of information technology services within the Health Sciences Center, the following administrative positions were created: executive directors for faculty practice, undergraduate programs, graduate programs, gerontology

Closing the Loop: Focusing on Highest Need Programs

As the College of Nursing evaluated its continuing education program in 2003, several challenges were identified. First, unsustainable financial losses resulting from declining enrollments in standard continuing education offerings indicated the need for change. Second, market assessments revealed sufficient offerings were available through local employers. Based upon a clear understanding of the reduced need for such offerings, the college elected to discontinue its continuing education efforts. In addition, specific offerings, such as the R.N. refresher course, were transferred to other agencies.

program; and an associate dean for information and technology. The organization of faculty into a two-division structure, preparatory to formal division, has interjected mid-level leadership into the college, allowed for budgetary decentralization, and shifted administrative functions from the deans. This was preparatory to application for division/department status within the University.

- Appointment of new leadership for the University of Utah Center on Aging: Needs of the aging population and requirements for multidisciplinary research approaches were drivers for the renaming and expansion of a University-wide Center on Aging. A new executive director was appointed who reports to an interdisciplinary board of directors.

Changes noted above should be considered strengths, as each has facilitated the mission of the College of Nursing. Additional strengths are noted next, along with factors that are considered weaknesses or challenges. The remediation responses to recognized weaknesses are noted in tandem with those areas identified for improvement.

Analysis and Appraisal

Program and learning outcomes assessment in the College of Nursing is an ongoing process. One of the collegewide goals for 2005-2006 year is to review and update of our evaluation/assessment plan. Program assessment (used interchangeably here with evaluation) evaluates student outcomes in relation to learning outcomes that students should evidence.

The outcome assessments for the college's nursing programs are guided by standards formulated by professional organizations in nursing and nursing education. The primary body that sets educational standards for nursing is the American Association of Colleges of Nursing (AACN). The AACN has created a variety of documents and curriculum essentials that guide the development on nursing programs at the baccalaureate and higher degree levels. The curricula essentials provide standards and quality indicators. The primary accrediting body for nursing programs is the Commission on Collegiate Nursing Education (CCNE). The CCNE last accredited our baccalaureate and master's nursing programs in September 2001, and we will not be reviewed again until 2011 (CCNE 2001). Because of the nature of professional accrediting bodies, the College of Nursing monitors quality in relation to published CCNE Criteria (CCNE, 2003). Currently the CCNE does not accredit doctoral programs, but AACN does publish quality indicators for research doctorates that guide our quality assessments (AACN 2001 and Website *http://www.aacn.nche.edu*).

The College of Nursing also participates in the University of Utah outcomes assessment/quality indicators program. Within this framework six main categories are designated for student outcomes assessment. These six are listed below with college-specific indicators and assessment identified within each category:

- Capstone course performance: The College of Nursing has a capstone experience for all nursing degrees. These required courses occur at the end of the program and are listed as follows: baccalaureate capstone, master's synthesis, and doctoral synthesis.
- Exit surveys: An online survey is completed by graduating seniors in the undergraduate program. At the master's level exit surveys with program directors are conducted at program completion. Capstone faculty (undergraduate program), the college dean, and associate dean for academic affairs also meet with baccalaureate capstone students each semester to conduct "focus-group" type interviews for curricular evaluation.
- Alumni surveys: A mailed survey to gerontology alumni and online surveys of nursing

graduates using Survey Monkey is in place. The most recent B.S. and M.S. surveys were posted May 2005, and the Ph.D. survey was posted September 2005.

- Employer surveys: We have not done any recent broad based employer surveys. Advisory boards exist and clinical agency input is sought as market surveys prior to the initiation of new programs. This is an area for improvement that will be part of our new overall evaluation plan.
- Learning outcomes: All courses in the College of Nursing have published course objectives that are evaluated at the conclusion of the course prior to grade submission. Individual course objectives constitute mid-program assessments prior to attainment of broad outcomes for various degrees. Course and faculty evaluation data are gathered electronically at the end of each semester and forwarded to the faculty and program directors.
- Licensure/certification exams: The National Council License Examination is required for licensure as a registered nurse in the state of Utah. Nursing graduates must pass the examination prior to licensure (and subsequent practice) as a registered nurse (R.N.). Assessment Technologies Institute, LLC, is a testing company marketing professionally developed nursing exams that evaluate knowledge in relation to the nursing process, critical thinking, and competency skills. These exams are formative in nature and are taken by all students at preset intervals during their baccalaureate program progression and upon completion.
- American Nurses Credential Center: The center offers exams that lead to certification in a specialty area following a master's degree in nursing. Certification through the American Nurses Credential Center is generally requisite for licensure as an advanced practice R.N. in the State of Utah.
- Doctoral qualifying examination (oral/written): The pass rates and dissertation defense are considered outcome measures for the Ph.D. in Nursing.

Summary

The recent Graduate Council review (spring 2006) identified five commendations that are followed by five recommendations for improvement and action plans.

Commendations

1. The college has strong leadership, a well-articulated mission, and a strategic plan that responds well to changes in nursing education, practice, and research.
2. The college has successfully focused on its research mission by substantially increasing extramural funding, having acquired five endowed chairs to enhance scholarly productivity, and providing strong support for faculty development.
3. The college has successfully positioned itself as a leader in nursing education in the State of Utah. It has recognized that the key to addressing the well-known nursing shortage is to prepare students at the graduate level to become nursing faculty.
4. The college offers high quality programs across all levels with successful use of instructional technology and innovative teaching ideas.
5. The college has successfully built clinical partnerships to enhance the education and placement of its students across all levels.

Recommendations and Action Plans

1. The college is supported in its given authority and responsibility to provide direction and oversight of the Gerontology Program.

New leadership and a new strategic plan is underway to help focus efforts and improve communication.

2. The college should make diversity of faculty and students a top priority by seeking grants that specifically target the recruitment and retention of minority faculty.

   The faculty are seeking Health Resources and Services Administration and National Institutes of Health grants for faculty recruitment and building financial and educational support for minority doctoral students. The college is working closely with the Office of the Associate Vice President for Diversity and is making its commitment to diversity strong and highly visibly in the new strategic plan.

3. The college should continue to review its range of program offerings with an eye to changing market needs and internal efficiencies such as consolidation.

   The faculty are planning a major reorganization and consolidation of graduate educational offerings as part of the conversion to the Doctor of Nursing Practice degree.

4. In order to compete in the nursing faculty market and to retain its current faculty, the college must find ways to increase its salaries.

   The college has provided some targeted equity adjustments and will continue to assess market ranges and make adjustments as funds become available through vacancies or program consolidation.

5. The college should define how it measures its stated learning outcomes and incorporate strategies for using results to improve curricula and programs.

   An overall evaluation plan is being designed that articulates program objectives with outcomes as well as quality indicators.

College of Pharmacy

Central Aims and Purposes

The College of Pharmacy seeks to advance health care through an educational philosophy centered on pharmaceutical care; to discover, develop, and disseminate biomedical knowledge and technology; to promote life-long intellectual growth and learning; and to provide pharmacist-based services and outreach activities to the health care community and the citizens of Utah. Key to the achievement of these aims is the education of highly qualified Doctor of Pharmacy (Pharm.D.) and Ph.D. students and the training of specialist clinicians and scientists through postdoctoral fellowships and residencies. The aims and purposes of the College of Pharmacy are defined in some detail in the College of Pharmacy self-study exhibit document "Planning for the Future."

Students admitted to the Pharm.D. program must have completed at least 2 years of a science-intensive pre-pharmacy curriculum. The program within the college is a 4-year mix of scientific, clinical, and service-oriented courses, culminating in an intensive year of professional experiential study, much of it one-on-one with highly experienced preceptors. Small to moderate class sizes, student seminars, and break-out discussion groups facilitate the learning process.

At the Ph.D. level, each department has individualized requirements designed to meet the educational goals of the discipline. The hallmarks of the process are classroom excellence, a body of independent research leading to a high quality dissertation, and publication of scientific papers in leading journals. Students work closely with their advisors and supervisory committees to create a combination of core and elective courses designed to meet their specific goals and interests.

Description

The College of Pharmacy graduated its first class of baccalaureate degree pharmacists in 1950. The first postbaccalaureate Pharm. D. class of four students entered the program in 1975. Both B.S. and Pharm.D. degrees were offered until the entry-level Pharm.D. was instituted in 2002 and admissions to the B.S. degree were stopped. At this writing, no students remain enrolled in the B.S. degree program, and none will be admitted in the future. There are presently about 180 students enrolled in the 4 years of professional education leading to the 6-year Pharm.D., and about 70 graduate students in the various Ph.D. programs. Currently about 41 tenured/tenure-track faculty in the college have total salaries supported by state funds to the extent of about 55%.

Specific information regarding degree requirements, curricula, and scheduling for all degrees may be readily accessed at *http://www.acs.utah.edu/GenCatalog/Index.html*. Each of the three Ph.D.-granting departments offers a Pharm.D./Ph.D. pathway designed to reduce the time to degrees by about 1 year. The intent is to produce outstanding clinical scientists who may aspire to faculty positions at research-extensive colleges of pharmacy. At present, four students are pursuing this approach.

Significant Changes

The College of Pharmacy has undergone many changes over the past decade. These changes are discussed below.

- The college consists of four departments (Medicinal Chemistry, Pharmaceutics and Pharmaceutical Chemistry, Pharmacology and Toxicology, and Pharmacotherapy). The current organizational chart is shown in the College of Pharmacy Self-Study Exhibit 2. At present, all the Ph.D. students are in the first three of these departments, but the Department of Pharmacotherapy will be admitting students into a revised M.S. program in 2006 and is currently in the planning process for a Ph.D. program. Both will have a major emphasis in outcomes research (drug efficacy, toxicity, and cost effectiveness). Additionally, the college hosts a number of centers and programs that, although somewhat autonomous, report directly to a cognizant department chair. Examples include the Utah Poison Control Center, Pharmacotherapy Outcomes Research Center, Anticonvulsant Drug Development Program, Center for Cell Signaling, Center for Human Toxicology, Center for Controlled Chemical Delivery, and the Sports Medicine Research and Testing Laboratory.
- At the time of the prior reviews, space for the educational programs was minimal, aging, and of dubious quality. Last fall, the Eccles Health Sciences Education building opened to all pharmacy, medicine, and nursing students. Essentially all classes will be held in this outstanding, state-of-the-art 150,000 square foot facility. For the first time in the history of the Health Sciences Center, students from all three disciplines will be educated in the same facility, providing unique opportunities for cooperation and collaboration.
- At the time of the last College of Pharmacy accreditation visit by the representatives of the American Council on Pharmacy Education (ACPE) in 2001, the college was finalizing the process of phasing out the B.S. degree program in pharmacy and initiating the Pharm.D. program as the sole professional degree, in keeping with the mandate of the ACPE. Accreditation for the maximum 6-year period was granted, with the understanding that the B.S. degree would be phased out by 2004 or as soon thereafter as possible. The first all-Pharm.D. class was admitted in 2002, and the last B.S. degree was awarded in 2004.

Analysis and Appraisal

The College of Pharmacy is presently undergoing both external and internal reviews, sponsored by The Graduate School, of its professional (Doctor of Pharmacy) and departmental programs. Separate self-studies were prepared for each of the four departments and for the overarching Pharm.D. program, and teams of reviewers have thoroughly evaluated each of the departments and the Pharm.D. program.

A number of issues regarding the implementation of the Pharm.D. program in general and the Department of Pharmacotherapy (a major player in professional education) in particular were raised by the accreditation team. Each of these has been addressed in the ensuing period. The concerns and responses follow:

- The college was asked to update its strategic plan with regard to the Pharm.D. program, with emphasis on examining the teaching loads, faculty development, mentoring, and research collaboration within the Department of Pharmacotherapy. This has been accomplished through a series of faculty retreats and through the leadership of a new department chair, Dr. Diana Brixner. Key elements of this plan are found in the College of Pharmacy's exhibits. The college has assessed its progress against the current strategic plan; this assessment is found in the college's exhibits. It should be noted that the college is again undergoing a process of updating its strategic plan as the first step in preparation for an ACPE accreditation site visit in 2007.
- The formulation and communication of a systematic assessment plan for the Pharm.D. program was requested. This has been accomplished through the activities of a set of committees as outlined in the College of Pharmacy Self-Study Exhibit 4. A highly significant outcome measure is that, for the last 5 years, the NAPLEX national licensing exam has been passed on the first attempt by all but three students, and the scores each year were above the national average, (College of Pharmacy Self-Study Exhibit 5). Furthermore, the Pharm.D. program is ranked 14th of 87 in the most recent *U. S. News and World Report* assessment of overall quality. The Pharm.D. is a college rather than a departmental degree. The quality of instruction is monitored by both formative and summative student evaluations and by regular peer evaluations conducted by senior faculty who, in most cases, have been selected for the college Distinguished Teaching Award. If deficiencies are identified, they are addressed in a collegial way by mentors within and, if necessary, outside the college. The result has been quite rewarding in terms of student evaluation of teaching quality and their perceived attainment of educational goals.

Two specific examples identify ways in which the assessment process has facilitated teaching and learning:

- first, the pharmacy management course was assessed as being problematic in the translation of the course content into practice. In response, the curriculum committee is

Closing the Loop: Strengthening a Foundation Skill

Findings from an analysis of student observations identified a significant problem in that students did not feel adequately prepared to accurately and safely compound drugs. Students saw this as a foundational skill in which they found themselves deficient. The faculty also noted that the standards for pharmacy practice related to compounding have recently undergone a significant revision. These assessment results and new standards are leading to changes in the curriculum related to student skill development.

revising this course to enhance content in the context of pharmacy practice.

- second, the sequencing of course content in pharmacology and in pharmacotherapy was assessed as not being optimal. This was quickly addressed to ensure that specific content areas are aligned between the two courses.

The assessment measures described above apply to all four departments, since all are involved in the professional program. In addition, however, each department maintains its own assessment criteria for its graduate program. These criteria include regular interaction of each student with both mentor and supervisory committee, annual or more frequent meetings of department chairs and graduate advisors with students individually and in groups to hear their concerns, and appointment of graduate student representatives to the collegewide Student Advisory Committee.

Some faculty turnover has occurred since the 1998 review, but the retention rate has improved significantly. Between 1986 and the 1996 Graduate Council review, 22 faculty resigned from the department. Between 1996 and 2004, 9 faculty resigned for a variety of reason related to low salaries, the expectation that faculty generate a significant portion of their own salary, heavy teaching loads, high expectations for scholarship, and inconsistencies between clinical service and academic expectations. Retention has been significantly improved with the recruitment of Dr. Brixner, the implementation of a faculty salary plan that permits faculty to use self-generated resources to enhance their salaries to the 75th percentile of the American Association of Colleges of Pharmacy averages, and marked improvement in mentoring both clinical track and tenure-track faculty.

- Concern was expressed regarding the ability of the college to acquire the fiscal resources and the professional experience sites to support the Pharm.D. program. Through the approval of a tuition differential and the acquisition of funds based upon increased productivity associated with moving from a 3-year to a 4-year program, the college is now on a sound financial footing for the first time in over a decade. The ability of the dean and chairs to manage these resources effectively has been markedly enhanced by implementation of and adherence to a mission based management fiscal approach throughout the Health Sciences Center. Sources of revenue (fiscal year 2006, projected) for the college are shown in Table 2.17.

An important by-product of the tuition differential funding is a strengthened student affairs office under the aegis of Dr. Mark Munger, associate dean for academic affairs. Both Dr.

Closing the Loop: Strengthening Learning and Experiential Education

The importance of students having experiential opportunities has been cited as a critical element in translating theory to practice. The College of Pharmacy assessed the quality and variety of such options for students and elected to strengthen this component of its programs. One means of accomplishing this was the recruitment of an outstanding professional experience coordinator, Dr. Beth Young, as assistant dean for experiential education. Dr. Young broadened the base of experiential sites and developed a sound professional experiential program within the University of Utah Health Sciences Center and with external facilities such as Intermountain Health Care. These changes have significantly improved the quality of experiential education available to students.

Table 2.17: Revenue Sources for College of Pharmacy

Category	Amount	% of total
State Salaries (including benefits)	$4,714,331	15.82
State Other	2,283,756	7.57
Unrestricted Gifts	202,893	0.68
Restricted Gifts	1,237,705	4.15
Facilities and Adminstration Return	1,746,428	5.86
Poison Control Center	1,900,000	6.37
Contracts and Grants	17,749,047	59.55
Total	$29,807,160	100%

Munger and new Assistant Dean Young have strengthened ties between the college and the pharmacy practice community in Utah.

- The recently completed Graduate Council reviews of the four departments of the college were unanimous in their commendations for teaching excellence and commitment to the professional program. The focus of the departmental reviews was primarily, however, on the graduate programs of the units. For the three departments with active graduate programs, all reviewers remarked on the excellence of individual and collaborative research efforts; the high quality and morale of graduate students; impressive funding, publication productivity and service to professional organizations, editorial boards, and National Institutes of Health grant review committees; and leadership among like departments nationwide. It was uniformly noted that each department contributes significantly to the college ranking of second in the nation (among 87 colleges of pharmacy) in National Institutes of Health research support.

- Issues relating to faculty diversity are a collegewide concern. The limited diversity, especially ethnic diversity, among the faculty is largely a reflection of the demographics of the pool from which recruiting is done and the State of Utah itself. It is not a reflection of lack of effort on the part of the units to attract women or underrepresented minority candidates to the applicant pools. Continuing efforts in this arena will be enhanced by the newly instituted direct involvement of the University Office of Equal Opportunity in all faculty searches. This involvement is welcomed by the departments as a means of assisting the identification and recruitment of women, persons of color, and other underrepresented individuals. According to a report provided annually by Mr. Tom Loveridge, assistant vice president and director of the Office of Equal Opportunity/Affirmative Action, the college compares favorably with diversity benchmarks throughout the University of Utah. The college has experienced no specific problem in recruiting or retaining faculty from a national pool resulting from the limited diversity within Utah.

- The Department of Pharmacotherapy (formerly Pharmacy Practice) does not have a currently active graduate program. However, a Department Graduate Program Committee has been established, curricula approved in outcomes research and management/administration by the faculty as modifications of the currently inactive M.S. degree, and the first class of M.S. candidates will be admitted in 2006. General concerns by reviewers dealt with the impact of the M.S. degree offering on teaching loads; faculty recruiting, development, and mentoring; salary issues; and space issues. Each concern is being addressed by the chair and faculty through specific planning exercises and the creation of appropriate committees. For example, this approach has recently led to creation of a student-faculty handbook for the graduate program and a set of guidelines for promotion and retention of auxiliary (clinical and research) faculty.

- Space issues are being addressed through the planned renovation of a large classroom freed up by the advent of the new Education Building. The salary issue is perhaps the most difficult to fully address. A faculty salary plan, recently approved by the Senior Vice President for Health Sciences, encourages faculty to increase their salaries to fully competitive levels by the acquisition of nonstate funds applicable to that purpose. However, not all faculty have access to such funding, so alternative ways are being sought by the chair of pharmacotherapy to assist in this area. The problem is exacerbated by the extraordinary salaries being offered by pharmacy employers to new graduates of the program, with entry level salaries often in the low six figures coupled with substantial signing bonuses. It is the norm for these salaries to exceed those of faculty even with several years of experience.

- A major issue facing the Department of Medicinal Chemistry is the departure/retirement of five highly productive senior faculty during the last 5 years. Three of those have been replaced by excellent junior faculty at the assistant professor level, but the department now finds itself in the difficult position of having only assistant and full professors, with two of the latter planning retirement within the next 5 years. Approval has been granted for immediate recruitment of one mid-level faculty member, with a second recruitment approved for next year. However, this will leave the department only at status quo, one or two persons below what the reviewers considered to be a critical mass. This situation leads directly to a perceived lack of critical mass of graduate students, a problem exacerbated by the necessity of distributing research groups in four buildings, two on the Health Sciences Center campus and two a mile away in Research Park. This space dilemma confronts the entire college and will be commented upon further below.

- The greatest challenge facing the Department of Pharmaceutics and Pharmaceutical Chemistry is the pressing need for the successful recruitment of a new chair from outside the department. The department is now operating successfully with a superb interim chair, but long-term stability requires a successful search. Fortunately, with the help of the Senior Vice President for Health Sciences, a search is being initiated with the intent of bringing a new chair on board in 2006. The department has a critical mass of faculty and graduate students, with 12 tenured or tenure-track faculty and around 40 graduate students. This extremely productive group is hampered, as noted above, by having their programs in three physical locations.

- The Department of Pharmacology and Toxicology is unique in that it is the sole such department in the University. Most such departments are found in schools of medicine; however, a number of years ago a decision was made to consolidate the two units then existing in pharmacy and medicine, and the clear superiority of the pharmacy program led to the creation of the present department in the College of Pharmacy. The reviewers offered high praise for this outstanding unit. Most suggestions for improvement dealt with issues related to enhancing and stabilizing the graduate program, with emphasis on new course development, acquisition of a federal training grant, and recruitment of new faculty with expertise in emerging areas such as pharmacogenomics. The department is in accord with those suggestions and is in the process of implementing them. As with every unit, the lack of contiguous space is the most serious issue facing the department.

- The consensus greatest problem still facing the college is the lack of contiguous space. At present, faculty, graduate students, and programs are housed in some seven buildings on the main Health Sciences Center campus and in Research Park. A footprint for a new building is available, and funding is actively being sought through the

University's next capital campaign. Funding of this 150,000 square foot structure would enable consolidation of nearly all the college programs, students, and faculty, and alleviate for the foreseeable future the difficulties resulting from fragmentation of the college.

Summary

Commendations

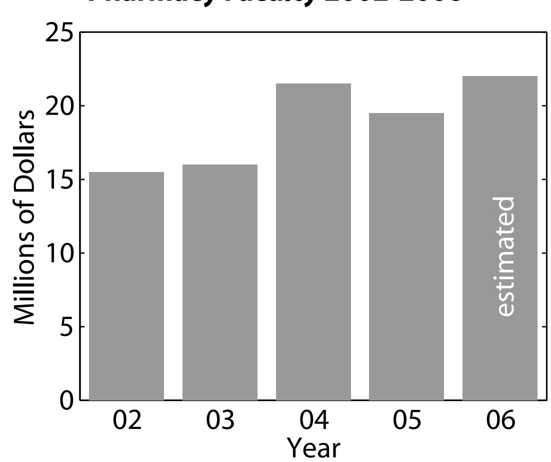
- The University of Utah College of Pharmacy is recognized for excellence in research, education, and service. Evidence supporting its reputation for excellence includes the following national rankings: 1) the college has been ranked among the top four colleges of pharmacy for National Institutes of Health funding for the past 25 years and 2) the Doctor of Pharmacy Program is ranked #14 by the *U.S. News and World Report* national survey.
- The college's Doctor of Pharmacy program has been fully and continuously accredited since 1950 by the Accreditation Council of Pharmaceutical Education. The Ph.D. programs in the college are acknowledged as being in the top tier by external reviewers. Research productivity, as noted in Figure 2.13, provides evidence that faculty members are competitive for peer-reviewed funding. The University of Utah Poison Control Center responds to over 50,000 calls annually, which is a valuable service provided via the college and the Department of Pharmacothearpy. In addition, the college contributes to the Utah economy through technology transfer and through faculty participation in the Centers of Excellence Program.

Challenges

- Need for a new pharmacy building to bring all the faculty and students into proximity for a coherent and cohesive academic community
- Endowed chairs to enhance faculty recruitment and retention
- Increased endowments for scholarships and fellowships
- Enhanced diversity of the student body and the faculty

The action plan to meet these challenges is as follows: 1) master planning for a new building is underway, 2) a commitment has been made by the Senior Vice President for Health Sciences and the President of the University to assist in identifying major donors for a new building, 3) a vigorous recruitment plan is underway for new faculty, with significant support from the Senior Vice President for Health Sciences, 4) an internal reallocation of funds has been made to hire an additional development officer focused on endowed chairs and endowed scholarships/fellowships, and 5) an increased effort is being made to identify qualified under-represented students and faculty, including women. Some initial success is evident by the hiring of a woman chair for the Department of Pharmacotherapy and with the recent faculty search in the Department of Pharmacology and Pharmacology where qualified women/minority candidates were identified. A retreat this fall will focus on mechanisms to enhance diversity

Figure 2.13: Contracts and Grants Awards to Pharmacy Faculty 2002-2006



in connection with the admissions process for the Doctor of Pharmacy Program.

College of Science[3]

Central Aims and Purposes

The goals and purpose of the College of Science are to create knowledge (through research and scholarship) and disseminate it (through teaching and public service) in the college's disciplines. Listed below are the vision and mission statements of the College of Science.

- Vision of the College of Science: To advance the frontiers of science, to excel in research and education, and to contribute to society and to public understanding.
- Mission of the College of Science: To create, develop, apply, and disseminate new science; to educate the next generation of scientists; to provide a strong education in science for students of other disciplines and future teachers; to promote public understanding of science; and to become the finest integrated science program in the western United States.

Description

The College of Science has four departments: Biology, Chemistry, Mathematics, and Physics (see Science Exhibit I) -- with a current total of 151 tenured and tenure-track faculty, 150 post-doctoral fellows, 448 graduate students, and 1,561 undergraduate science majors. Twenty-three of the University's 47 distinguished professors hail from the College of Science.

A brief profile of the College of Science is provided in three categories: Research and Scholarship, Teaching and Education, and Public Service and Community Outreach.

[3] All exhibits referenced in the College of Science section are located in the college self-study.

Research and Scholarship

The College of Science has a nationally and internationally recognized faculty engaged in world-class research and scholarship. This is evidenced by the national rankings of the respective departments (see Science Exhibit II) in the most recent and authoritative National Research Council rankings of Research Doctorate Programs in the United States:

- biology (biochemistry, molecular biology, ecology, evolution) as well as chemistry rank in the upper 15%
- mathematics ranks in the upper 21%
- physics ranks in the upper 32% in the nation among doctorate granting institutions.

The College of Science has three members of the U.S. National Academy of Sciences -- Mario R. Capecchi (joint in Biology and Human Genetics and Hughes Investigator), Thure E. Cerling (joint in Biology and Geology and Geophysics), and Peter J. Stang (Chemistry and dean of the College of Science) -- as well as two members of the American Academy of Arts and Sciences -- Peter J. Stang and C. Dale Poulter.

Further indications of the quality of the faculty and its research are the numbers of major national and international awards (see Appendix III) and editorships of prestigious scientific publications held by our current faculty (see Science Exhibit IV).

In 2004-05 the College of Science received $31.35 million in external funding for research awards (mostly federal), representing over 10.5% of the University's total $298 million awarded during the 2005 fiscal year (see Science Exhibit V).

College of Science faculty publish their research in a number of prestigious scientific journals: *Science, Nature, Proceedings of the National Academy of Sciences, Journal of the American Chemical Society, the Journal of*

Biological Chemistry, and *Physical Review Letters*, to name a few.

Teaching and Education

At all major national research-extensive universities, research and scholarship are an integral part of both graduate and undergraduate education. This is particularly true in graduate education but also holds true in state-of-the-art undergraduate education. Having recognized this, each of the four departments in the college has made involving undergraduates in research a priority. Their success can be measured by the number of students graduating having had a research experience, authored or coauthored research papers in refereed journals, or given presentations on their research in national meetings. For these data, please see the departmental self-studies.

Graduate education within the college continues to be of the highest caliber. Applicants to our graduate programs come from all over the world. The number of graduate students has been steadily growing for chemistry, which had 144 graduate students in 2000 and 172 in 2005; mathematics grew from 53 to 79; and physics went from 78 to the current 108. Biology's graduate student population of roughly 70 has remained constant during this period.

The College of Science has awarded annually (over the last 5 years) an average of 43 Ph.D. degrees (10% of the University's total Ph.D. degrees), 28 master's degrees (2.7% of the University's total master's degrees), and 259 bachelor's degrees (6.1% of the University's bachelor's degrees; see Science Exhibit VI).

The College of Science educates future biologists, chemists, mathematicians, and physicists. The number of those designating a major or premajor in these areas grew by 21% over the 4-year period from 2000 to 2005, and the number of graduate students increased by 20% over the same period (see Science Exhibit VII). The college also educates students of other disciplines (such as engineering and health sciences for whom science plays a key role), future teachers, and many other students who must have a measure of scientific understanding to make informed decisions as citizens.

The College of Science has one of the highest service teaching duties on campus. This occurs because nearly every undergraduate enrolled at the University must take a mathematics course, and every premedical student must take courses in biology, chemistry, and physics. In addition, every engineering student must take some courses in mathematics, chemistry, and physics, and many other disciplines require some science courses for their graduates. As a consequence, the College of Science generates among the highest total student credit hours of any college at the University of Utah (see Science Exhibit VIII).

The College of Science actively participates in the University-wide Honors Program, with a large number of the University's total honors degrees awarded annually originating from majors in the four departments of the College of Science. In 2002 we established a college-wide College of Science Honors Program, further enhancing the opportunity for a premier undergraduate experience and education for the most talented, committed, and well-prepared students in science and mathematics. This provides students a distinctive education that challenges them to develop their full intellectual potential. Moreover, the Gary and Ann Crocker Science House at Officers Circle in Ft. Douglas affords a unique residential experience to outstanding, committed undergraduate science majors, thanks to a generous gift from donors Gary and Ann Crocker.

- Recognizing persistence in a program requires that majors be well advised as they pursue their degrees, each of the departments provides an advising staff and a faculty advisor. Two faculty advisors were recipients of the University of Utah Philip and Miriam Perlman Faculty Award for their outstanding service to their undergraduate majors. Another faculty advisor in the Department of Physics received a letter of commendation from President Michael Young for his extraordinary efforts to increase the number of physics majors at the University of Utah.

- The use of computer/data projection technology in labs and classrooms has gradually increased in the College of Science over the last decade. Most of the buildings in the science corridor are equipped with overhead data projectors and multimedia equipment.
- Another measure of the quality of the undergraduate education provided by the College of Science is the accomplishments of Gretchen A. Domek, a 2003 chemistry and honors degree graduate selected as 1 of the 32 American students named a Rhodes Scholar. She recently completed her M. Phil. Degree after spending 2 years at Oxford University. A further indication of teaching excellence is the numerous teaching awards presented to our faculty (see Science Exhibit IX), including the University's Distinguished Teaching Award and Hatch Prize.

Public Service and Community Outreach

College of Science faculty members participate in numerous local, regional, national, and international activities, committees, studies, etc., that serve their disciplines, science, and the public. These are too numerous to list.

The College of Science also sponsors an extensive range of outreach programs that are widely recognized as being among the best and most acclaimed on campus. These include the:

- ACCESS Program for Women in Science and Mathematics, a stipend program aimed at attracting bright young women to the sciences early in their academic careers, starting with the summer prior to their entrance at the University.
- M.S. degree program for Secondary School Teachers of Science or Mathematics, a specialized master's program that helps to meet the state's aim to improve the quality of secondary science education in Utah by offering a uniquely tailored, subject-intensive degree program for Utah's science and mathematics teachers.
- Bioscience Undergraduate Research Program, a course involving junior and senior high school students in research in biology during the summer.
- Programs of Professor Ronald Ragsdale's Chemistry Advanced Placement Laboratory Program, the Summer Enrichment Chemistry Program (for high school students), and the Christmas Faraday Lectures (for the general public) that foster contact with high school students and attract the very best chemistry students in the region.
- Physics ASPIRE lab, one of the most innovative and interactive science education Websites on the internet.
- U of U Math Circle in which each fall, high school students meet weekly with professors and graduate students to extend their mathematical understanding and problem solving skills.
- Science Day at the U (cosponsored by the College of Mines and Earth Sciences but organized and run by the College of Science) that brings 400-500 high school junior and senior advanced placement science students, their parents, and teachers to campus on a Saturday in November to attend hands-on science workshops conducted by our faculty.
- Frontiers of Science Lectures (also cosponsored by the College of Mines and Earth Sciences but organized and run by the College of Science) presented four times each academic year by recognized scientists and world experts (free and open to the public, with 300-400 attending).

- Science at Breakfast Lectures (see Science Exhibit X) presenting cutting-edge science research in the College of Science to invited community and business leaders four times each academic year. These latter two are well covered by the local newspapers and, along with other science breakthroughs, form the basis of our biennial research bulletin, Spotlight.
- Remodeling of the Department of Physics observatory through a gift from the Willard L. Eccles Foundation and equipping it with new telescopes for observing the night sky. These telescopes and associated equipment form the basis for a new observational astronomy course. The University of Utah Astronomical Society conducts weekly public observation sessions and twice yearly public demonstrations of astronomical wonders.
- An intensive 3-week Summer Mathematics Program for high school students conducted by the Department of Mathematics.

Significant Changes

The most significant change since 1996 is the semester system conversion. The reorganization of quarter length classes to semesters required major review and revision of the undergraduate curriculum. The review process gave departments an opportunity to assess the objectives of year length sequence courses for majors and nonmajors and resulted in many significant changes. There were expected problems as discussed below, but there were some unintended consequences, some of which had a negative effect. The most serious of the problems created were those to service courses. The shift to semesters increased major hour requirements in some colleges, which required service courses to be offered with decreased credit hours, resulting in a compression and/or decrease of subject content.

As predicted in the last institutional accreditation review, the change to semesters has increased the need for more and remodeled lab space in the college and large lecture halls in the science corridor. For example, the Department of Biology needs renovation of South Biology, and the more than 80-year-old Life Science Building should be replaced with attention given to new lab space. The Department of Chemistry requires the completion of the second half of the south tower of the Henry Eyring Building, which includes plans for advanced undergraduate laboratories. The Department of Physics requires high-quality laboratory space for their proposed nanophysics center and to accommodate more students in undergraduate experimental research.

The construction of the Skaggs Biology Building 7 years ago added two large lecture halls and the recent remodel of the Cowles Mathematics Building added some large capacity classrooms, all equipped with data projection. However, most of the major college facilities are nearly 40 years old. Some of the buildings have earthquake and safety hazards and require extensive remodeling to make them suitable for the needs of newly hired faculty. Furthermore, there is no room for expansion and growth of either faculty or student laboratory space in the current facilities.

Although there have been many faculty departures and hires since 1996, the number of regular faculty in the college has fluctuated moderately around a mean of 149 from 1996 to 2005 (see Science Exhibit XI). In fact, the mean has remained almost constant since the 1980s. The college currently has 153 regular tenure or tenure-track faculty as compared to 149 in 1996. It is also the case that the differences in the number of faculty by rank have varied little from their means, assistant professors-21, associate professors-27, and full professors-95.

Of the current 153 regular faculty, 2 have been given release time for administrative positions: Distinguished Professor Peter Stang, chemistry, dean of the College of Science, and Professor Peter Trombi, mathematics, associate dean of the college. Two distinguished professors and two professors of biology retain their tenure in biology, but are physically located in School of Medicine departments. A fifth tenured biology professor has her laboratory in the Huntsman Cancer Institute, of which she is the deputy director.

Auxiliary faculty augment the regular faculty; however, the title and duties of auxiliary faculty vary by department. Auxiliary faculty can be broadly classified as either professor-lecturer or research faculty. Each of these groups supports the teaching mission of the college. Research faculty in some departments may have no classroom student contact hours, but may well supervise both undergraduate and graduate students in their laboratories. The number of auxiliary faculty from year to year has varied more from their means than regular faculty. Table 2.18 shows the mean from 1996-97 to 2005-06 and the actual number of auxiliary faculty employed in each department.

Diversity of faculty continues to be an issue, although the number of women faculty members has significantly increased in two departments in the college (see Science Exhibit XI).

The support staff in each department includes secretarial, lab technicians, support personnel, and computer support staff. The number, responsibilities, and reporting structure of support staff are shown in the staff organization flow charts in each of the departmental self-studies.

Table 2.18: Auxiliary Faculty Employed by Department: College of Science

Department	1996-97	2005-06	Mean
Biology	36	44	36
Chemistry	27	35	34
Mathematics	34	35	35
Physics	7	16	11

Analysis and Appraisal

Each of the four departments has undergone Graduate Council reviews since 1996, which will serve, together with the last accreditation review, as the basis for the college's analysis and appraisal portion of this self-study.

- One of the recommendations of the last accreditation review was for the University to adopt a standardized instrument for the evaluation of instructors and courses. In academic year 2000-01 this was done. Instructors and courses are rated on a 6-point scale. In the text below assessments will be made in reference to this standardized rating system.

Student instructor evaluations are reviewed by the undergraduate and graduate student advisory committees, which compile data from the evaluations, and then report their findings with affirmative or negative recommendations to the faculty in all retention, promotion, and tenure decisions.

Biology

The Department of Biology's last Graduate Council review was initiated in academic year 1999-2000. The department was commended for its clear commitment to excellence in undergraduate education. In particular, it was noted that the auxiliary faculty play a crucial role in this endeavor. The department was especially commended for participation of senior faculty in undergraduate instruction.

- The 2004-05 student evaluations for all undergraduate courses offered by the Department of Biology averaged 5.10, and instructor ratings averaged 5.31 in 2003-04.
- During 2004-05, the Department of Biology offered more than 80 courses totaling more than 28,000 student credit hours (SCH). This represents a 29% increase in SCH since 1998-99 (the year that the University

switched to the semester system), and a 27% increase in the last 5 years. More than 50 courses, totaling approximately 6,800 SCH, were offered at the upper division undergraduate level (courses numbered 3000 to 5000) during 2004-05, a 22% increase since 2000-01.

The Department of Biology views laboratory experience to be an integral component of education in the biological sciences. In 2003-04, department faculty taught 15 sections of 13 courses including approved laboratory components, with a total enrollment of 1,325 students. Laboratory courses account for about 16% of the SCH taught at the undergraduate level in 2003-04. In 2005-06, fully one third of the biology instructional staff (15 of 45 regular and auxiliary faculty) will be instructing courses with a laboratory component.

The 2004-05 student evaluations for all undergraduate courses offered by the department averaged 5.10, and instructor ratings averaged 5.31 in 2003-04.

- The Department of Biology fosters undergraduate involvement in scientific research through its Bioscience Undergraduate Research Program (see page 7 of the Biology Self-Study), which was initiated with funds from the department's Howard Hughes Institute Award for improving undergraduate education in the biosciences and is now funded by the department. This program has been highly successful as indicated by the fact that more than 50% (55 of 99) of the students receiving bachelor's degrees in biology in spring of 2005 participated in research during their undergraduate careers. In the last 5 years, as many as 300 undergraduate biology majors per year have participated in research opportunities.
- In 2001-02, the Department of Biology established the Biology Department Honors Program. The "*keystone*" of the Honors Program was completion of three semesters (totaling nine credit hours) of independent research conducted in a laboratory within the department and preparation of a scholarly thesis describing/discussing the results from those studies. Despite advertising in core courses and via the Web, there was little interest in the program in its the first 3 years. This lack of interest resulted in a remodeling of the program in 2004-05. Since April 2005, four students have applied to the Honors Program, and as many as a dozen are expected to enroll by spring 2006.
- The Department of Biology has conducted postgraduation surveys since 2001, with a response rate of about 30%.
- From 2001-04, roughly 43% of the respondents were accepted to professional schools (including M.D., osteopathic medicine, D.D.S., D.V.M, optometry, pharmacy, and law).
- Another 10% were accepted to graduate school.
- Around 20% were employed in positions related to biology or the health sciences.
- The remaining respondents were in the process of applying to graduate schools or seeking employment.
- Over the last 10 years (1995-2004), 33 biology majors per year were accepted by one or more medical schools, corresponding to nearly 40% of all University of Utah graduates entering medical school. These data have not indicated any need for change in the undergraduate curriculum.
- The Department of Biology offers graduate education in fields of study ranging from ecology and evolution to molecular biology and biochemistry. The 1997 Gourman Report on graduate programs ranked the University of Utah's graduate programs in molecular genetics and biochemistry, programs to which the biology faculty make significant contributions, in the top 30 nationwide (19th

Closing the Loop: Tracking the Progress of Graduate Students

During its most recent Graduate Council review, it became clear that the Department of Biology needed to better track and ensure the progress of graduate students toward their degrees. This process has been immeasurably strengthened through the institution of new procedures designed to assess the progress of individual graduate students.

and 30th overall, and 8th and 14th of state-funded programs), and the 1995 National Research Council report ranked the department's graduate programs 29th out of 200 in biochemistry, 24th out of 116 in molecular biology, and 24th out of 116 in ecology, evolution, and behavior.

- Graduate student progress is overseen by the student's thesis advisory committee (the Department of Biology does not award nonthesis master's degrees), which reports to the department's director of graduate studies and graduate program committee.
- The Department of Biology faculty are nationally recognized for their research in the fields of genetics, cell and developmental biology, neuroscience, physiology, ecology, and evolution, publishing more than 470 research articles in the period from 1/03 to 6/05, and articles published by biology faculty have been cited more than 14,500 times since 1997.
- The quality of the research conducted by the faculty is indicated by the fact that 75% of the regular faculty maintained extramural funding in 2004-05 and were awarded more than $14.5 million in total cost, the largest amount awarded to any single division academic department at the University of Utah.
- Responding to the last Graduate Council review, the department has or will have implemented five new laboratory courses by the end of the current academic year. However, even with these new courses, biology majors are still left with too few options for fulfilling their degree requirements, and are often forced to fill their laboratory requirements by participating in independent research.
- Following the recommendation of the Graduate Council to adopt a "more proactive approach to graduate student recruiting," the Department of Biology more aggressively advertised their programs with literature and Websites describing key components (plant biology, ecology, and evolution, etc.) of its graduate program. The effect of these strategies has been a doubling in the number of students applying for admission to the biology program, from a low of 50 in 1999-2000 to 100 applicants in 2004-2005.
- The Department of Biology also has also established more rigorous time lines for completion of graduate degree requirements, another recommendation of the Graduate Council.
- The deficiencies in lab space, number of faculty and support staff, and budgets for equipment and supplies continue to prevent the department from offering companion laboratories with their introductory courses, Biology 1210, Principles of Biology; Biology 2020, Principles of Cell Biology; and Biology 2030, Principles of Genetics. Based on student inquiries, interest in companion laboratories for these classes is high, and the laboratories would fill to capacity should they be developed and offered. However, without increased state support it is unlikely that these labs will be offered any time soon.

- The insufficient number of graduate courses detracts from department's graduate program by creating bottlenecks, as students scramble to find courses needed to complete their course requirements, hampers the recruitment of new students directly into the department's graduate program, limits contact of biology faculty with first year students in the combined programs, which handicaps their ability to recruit graduate students from these programs into their labs. As already discussed the lack of offerings at the graduate level results from the dramatic increase in demand for courses in biology driven by interest in bioscience and biotechnology. Over the last 5 years the demand for undergraduate courses has grown by 30% (as measured by SCH). There seems to be no simple remedy for this problem. The student to biology faculty ratio, when compared to the University's peer institutions or the top 25 public institutions, ranks biology second highest (569 to 1) in both groups, the lowest being approximately 170 to 1 in both groups, and the median 400 to 1 in the peer group, and 333 to 1 in the top 25 group (see page 19 of the department's self-study).

Chemistry

The last Graduate Council review of the Department of Chemistry was completed in 1999. It noted the department was "strong and doing very well." This trend continues as evidenced by the consistent ranking of the department in the upper 10-15% of all graduate programs (out of 202 programs) and its top 10 ranking of state-funded universities, based on federal research and development funding, quality of its undergraduate and graduate instruction, and outreach programs.

- A recent issue of *Chemical and Engineering News* (2005, Vol. 83, Number 39, pp. 52-60) containing a report on professional training of chemists ranks Utah 24th of the 631 American Chemical Society (ACS) approved departments in total number of chemistry degrees granted and tied for 11th nationally in the number of ACS-certified degrees awarded. In contrast to a slight 4.5% decrease in chemistry degrees awarded nationally since 2001, Utah has had a 35% increase in bachelor's degrees granted.
- All chemistry courses are taught by faculty holding doctoral degrees. Chemistry courses receive student ratings with an average of 4.93 and faculty average ratings of 5.10.
- With some secretarial support, a regular tenure-track faculty member advises all chemistry majors and minors. This provides students at all levels with direct access to a faculty member who also provides career guidance and a starting place to find research opportunities as well as insight into the profession. One indication of the effectiveness of this arrangement is that the faculty advisor was the recipient of a University-wide award for excellence in advising in 2005.
- Exit surveys show approximately 45% of undergraduate chemistry majors have a significant research experience. Some students culminate their undergraduate career with an honors thesis as part of the requirements for a University Honors degree or publish their results in the chemical literature. Qualified undergraduates are also allowed to count select graduate courses toward their undergraduate degree.
- All chemistry majors must pass a set of four 2-hour long nationally normed comprehensive exams in the areas of analytical, inorganic, organic, and physical chemistry to earn their degree. Typical pass rates exceed 90%.
- Approximately one quarter of the chemistry graduating class attend medical or dental schools including the University of Utah, Harvard, The Mayo Clinic, University of

Michigan, Ohio State, Cornell, University of Colorado, and UCLA. Multiple students over the past 5 years have continued their graduate studies in chemistry or a related field at Berkeley, Caltech, Harvard, MIT, University of North Carolina, Northwestern, Scripps, Stanford, University of Utah, and other top graduate programs.

- The graduate program in chemistry is recognized in the United States and abroad for its excellence. The latest National Research Council report ranked the program at Utah 31st out of 168 Ph.D.-granting institutions in the country.
- Currently, eight Department of Chemistry faculty members are distinguished professors, the highest rank afforded by the University and held by only 34 of the 1,387 of its regular faculty members according to the 2004-2005 census report. The department also has four Rosenblatt Prize winners, the highest distinction afforded by the University to its faculty.
- Chemistry's faculty is internationally acclaimed for their research in the fields of analytical, biological, inorganic, materials, organic, and physical chemistry. In 2004, the faculty published 142 research articles (an average of five per faculty member). Faculty publications were cited nearly 400 times in 2004, including faculty who received special recognition as most cited authors or having published most cited articles.
- In 2004, 90% of the tenured/tenure-track chemistry faculty directed extramural-funded research programs, with a total budget of $11.1 million (an average of $371,000 per faculty member). The level of extramural funding for the department in the current fiscal year constituted 38% of the amount awarded to departments in the College of Science, while having 21% of the tenured/tenure-track faculty.
- Chemistry faculty members have received numerous international, national, state, and University awards in recognition of their excellence in research. A partial list of awards appears in the department's self-study under "Excellence in Research."
- Although great strides have been made within the Department of Chemistry in recruiting talented females to the faculty and as graduate students, the homogeneity of the population of Utah makes it challenging to have diversity with respect to under-represented minorities for both faculty and graduate students.
- The nation has invested large amounts in nanotechnology and biological chemistry in recent years, and the Department of Chemistry has not had the resources to tap into this infrastructure as well as would be desirable.
- Undergraduate laboratory space in chemistry is outmoded and lacks suitable ventilation and hood space. This is a particularly critical need in the organic and advanced laboratories given the large growth in the number of majors. Further, no teaching labs are available in the department in the growing area of biological chemistry. The state of the department's undergraduate laboratories makes it difficult to get undergraduates excited about chemistry.
- Instrumentation in the undergraduate chemistry laboratories is largely out of date and does not reflect state-of-the-art in the rapidly evolving field of chemistry. Even if the department had the space needed, without new equipment for advanced upper division laboratories, offerings will begin to fall short of providing a meaningful experience in the lab for departmental majors, which again limits the ability to get students excited about the field.

- In 2003, the Department of Chemistry was awarded a highly competitive grant from the National Institutes of Health (NIH) to construct a state-of-the-art facility for high field nuclear magnetic resonance spectroscopy. The $3.8 million grant from was matched by $3.8 million from University funds and construction is now underway. The addition to the Eyring complex is scheduled to be occupied in 2006 and will house a facility open to all faculty at the University. The Department of Chemistry also submitted a proposal to NIH for construction funds, with additional amounts from University and state sources that would permit the department to complete the south tower in the Eyring complex. The new addition is designed to provide badly needed space for biologically related research and undergraduate laboratories. The proposal to NIH was highly rated but was not funded when the NIH budget was reduced to 25% of the previous year's level.
- Because of budget cuts, facilities support (custodial, plumbing, heating, etc.) is occasionally terrible and is beginning to affect the college's ability to recruit and retain faculty, students, and staff.
- Resources to hire new faculty are becoming increasingly difficult to obtain. As a result, except for one hire in 2002, there have been no senior-level hires since 1994, and offers to junior-level candidates must be phased carefully when there is more than one vacancy.
- Chemistry's ability to recruit talented domestic graduate students has been limited over the past several years by the funds needed to engage in aggressive recruiting activities, as well as the poor impression obtained from our gradually declining facilities and instrumentation. Without a continuous flow of qualified graduate students, our excellent research and teaching efforts are in danger of erosion.
- In academic year 2004-05 the department teaching load was 24,084 SCH, with 20,548 of those being lower division SCH, and 3,536 at the upper division. All chemistry courses are taught by faculty holding doctoral degrees. Chemistry courses receive student ratings with an average of 4.93 and faculty average ratings of 5.10.

Mathematics

The last Graduate Council review of the Department of Mathematics was conducted in 1999. The department was commended for improvements in undergraduate teaching, which was accomplished by involving more regular faculty in lower divisional instruction; requiring teaching assistants to attend a 2-week teaching preparation workshop; creation of a tutoring center (now housed in the Rushing Math Center), which offers free tutoring to all undergraduates taking math classes; providing student computer labs; and providing students with a commons areas where they are able to study in groups (undergraduates use the area in the Math Center, and graduate students use the loft area in the Leroy Cowles Building).

- The Department of Mathematics has maintained all of its commendable programs and added a well-attended undergraduate colloquium, which attracts undergraduates at all levels (freshmen to seniors) from all the major colleges within the University. The department also has a graduate colloquium, which is run by and for graduate students.
- Over the last 3 years the student course and teacher evaluations in mathematics were undergraduate course, 4.96; undergraduate instructor, 5.20; graduate course, 5.44; graduate instructor, 5.59.
- The department uses the Graduate Record Examination subject test in mathematics to assess outcomes for its majors. The department also conducts exit interviews with all graduates. The results of these interviews

Closing the Loop: Increasing Support for Graduate Students

In the last Graduate Council review, the Department of Mathematics was challenged to increase graduate support by diversifying sources for that support. In the absence of institutional resources to meet this challenge, the faculty decided to pursue several grant opportunities that would help provide financial and other resources for graduate students. Faculty members competed successfully for three major grants that are described below: VIGRE, IGERT, and RTG.

are summarized and posted at the following Websites (by changing the year one can view archived exit interviews):

http://www.math.utah.edu/~korevaar/surveys/exitinterviews2005.doc

http://www.math.utah.edu/~korevaar/surveys/exitinterviews2005.pdf

http://www.math.utah.edu/~korevaar/surveys/exitsummary2005.doc

http://www.math.utah.edu/~korevaar/surveys/exitsummary2005.pdf

- During 2001, the Department of Mathematics competed successfully for a more than $3 million National Science Foundation 5-year Vertical Integration of Research and Education (VIGRE) grant. This National Science Foundation program was started in 1998, and approximately 40 departments across the United States have since been awarded such a grant. (For details on the grant, see: *http://www.math.utah.edu/vigre/*.)

  The successful proposal was prepared by a group of faculty members, reflects input from a broad base of the faculty, and has since enjoyed considerable support by the whole department. The VIGRE grant supplies funds to (during each of the 5 years) support eight graduate students full time and six postdoctoral assistant professors nearly half time; run two graduate research summer courses (mini-courses); run year-long research programs for undergraduates supporting 16 students; run a summer program for 15 talented high school students; and partially support the department's Math Circle, a weekly problem solving seminar for talented local high school students. In addition, funds are made available for VIGRE-supported graduate students and assistant professors to attend professional meetings and purchase necessary supplies. Graduate students tuition and fees are paid by the grant as well.

- In 2002, the Department of Mathematics was awarded a National Science Foundation Integrative Graduate Education Researching Training (IGERT) grant for $3 million over 5 years. The grant is funded by the Division of Graduate Education. The IGERT program funds about 20 programs per year across all the sciences. Since its inception, only six math departments have received IGERT funding. The aim of the IGERT program is to stimulate innovative interdisciplinary graduate programs. To that end, the IGERT program supports training of students in interdisciplinary mathematical biology. (For more information, see *http://www.math.utah.edu/research/mathbio/igert/*.)

  At present approximately 30 faculty members from across campus are affiliated with the IGERT program.

- In 2004, the Department of Mathematics was also awarded a National Science Foundation Research Training Grant (RTG) for $2.5 million for 5 years. The RTG program is part of the National Science Foundation EMSW21 Workforce in the Mathematical Sciences Program. (More information is available at: *http://www.math.utah.edu/research/mathbio/rtg/*.)

- Although the department lost some of its top research faculty to other institutions, it has replaced these faculty with outstanding young faculty members, which resulted in a younger and more energetic faculty with great promise. The department must be proactive in countering any outside offers made to young faculty. In particular, keeping salaries competitive will be a major challenge to the department.

- Recruiting quality graduate students has been both a high priority and a serious problem for the Department of Mathematics for some time. Although it maintains a high quality graduate curriculum and graduate faculty (see pages 3 and 4 of the departmental self-study for faculty awards in research and teaching), attracting quality students has been problematic. One of the contributing factors is that at one time the department maintained strong connections to a number of departments in Europe and Eastern Europe. Since the events of 9/11 these connections have withered, depriving the department of some of its strongest applicants. The department has chosen to concentrate on its U.S. applicants, by inviting its top candidates to campus for a long weekend, which includes candidates attending graduate courses, a presentation by the faculty on research in the department, and a faculty reception and dinner with current graduate students.

Physics

The Department of Physics' last Graduate Council review was initiated in 1996. The department was commended for its exceptional contributions to the liberal education program. This commitment has continued with the department offering a number of nontechnical but very engaging and popular undergraduate courses. It offers more intellectual exploration courses than any of the other departments in the College of Science.

- The number of undergraduate majors places the Department of Physics among the top10 largest physics bachelor's degree programs in the nation.

- The Department of Physics' course and instructor evaluations for the past 3 years have averages of undergraduate course, 5.0; graduate course 5.12; undergraduate instructor, 5.24; graduate instructor, 5.30. Besides University and departmental student evaluations, the department uses exit interviews and surveys of all undergraduate degree recipients. The department surveyed undergraduate and graduate alumni of the past 10 years to determine career outcomes and overall satisfaction with their physics degree. The results are summarized in the department's self-study.

- In its last Graduate Council review, the Department of Physics was encouraged to hire a theoretician in numerical astrophysics. It did that with the hiring of Drs. Benjamin Bromley and Paolo Gondolo.

- The physics faculty has received a number of awards, the most notable of which are:

  Of the 37 regular faculty who have been in residence over the past 10 years, 12 have been Fellows of the American Physical Society, and 4 have been designated Distinguished Professors.

  Of the 30 current faculty, 4 have received Distinguished Research Awards, 2 auxiliary faculty and 2 regular faculty received University Distinguished Teaching Awards, and 1 regular faculty member received the Hatch Teaching Award.

  One faculty member received a Sloan Fellowship, one a Guggenheim Fellowship, and one a Humboldt Fellowship.

  One regular faculty member was a Presidential Teaching Scholar.

One faculty member was appointed University Professor for the year 2005-06, a title that goes each year to only one faculty member on campus.

Faculty research has been supported by extramural funds (total grants awarded per year), which averaged $5 million over the last 5 years

- A significant weakness the department shares with physics departments nationwide has been an underrepresentation of women and ethnic minorities among majors and among departmental faculty. The department is a principal participant in the ACCESS program that brings young high school women to campus for short classes and exposure to scientific research. This program has helped attract some excellent female undergraduate physics majors. However, over the past 10 years the percentage of women undergraduate majors has risen to only 15%, still below the national average. Ethnic minority undergraduate enrollment remains at 5%. Among graduate students the number of ethnic minorities is close to 45%, but only because of a strong international component. The faculty is currently all male and broadly international. Over the past 10 years, tenure-track offers have been made to four women, succeeding with two, only to have them lured away after a couple of years by higher-ranked physics departments, despite strenuous efforts to keep them. A new junior faculty addition is Hispanic and has prior experience with outreach activities. The department hopes to initiate an outreach program to encourage and recruit good students from the growing local Latino community.
- A second weakness is the relatively small size of the physics faculty. There is a well-known correlation between faculty size and perceived quality in the National Research Council rankings. Despite explicit recommendations for modest growth in the last Graduate Council review (1996), faculty numbers have declined slightly. Recruiting success has been excellent, but without investments in infrastructure and the achievement of a critical faculty mass in key subfields, retention has been difficult.
- A third weakness is the gradual deterioration of the physical plant, a shortage of research laboratory space, a lack of office space for postdoctoral researchers, a lack of adequate study space for physics majors, a lack of adequate help-lab space for several hundred lower division physics students, and inadequate office space for graduate teaching and research assistants. An even modest expansion in the Department of Physics' experimental research program will require finding new laboratory space.

Summary

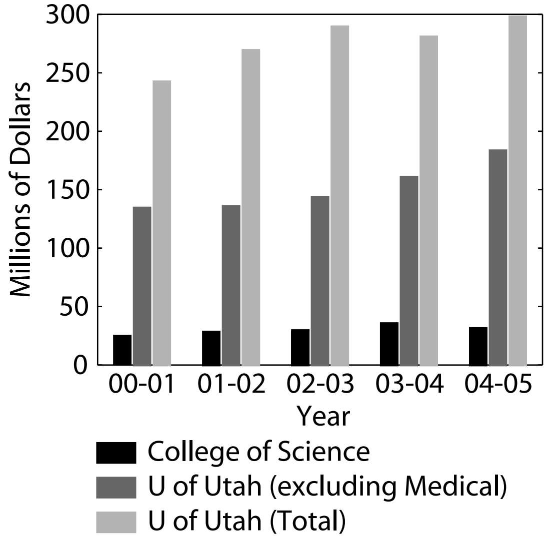
Commendations

The college has been nationally and internationally recognized for its excellence in research and scholarship. This is evidenced by the rankings of its departments in national surveys, external funding awards, articles published in prestigious journals, and faculty who serve as editors of professional journals. See Figure 2.14 for a summary of the college's external funding for research.

The college is also recognized for its effective teaching record. The departmental student teaching evaluations of courses and teachers are uniformly high. The college's faculty have also been recognized for their teaching excellence through various outstanding teaching awards.

The strength of the undergraduate program in the college is due in part to departmental efforts to involve as many undergraduates as possible in a research experience.

Figure 2.14: External Funding for Research: College of Science



The college maintains some of the most outstanding outreach programs at the University of Utah. These programs have exposed the University faculty and their research to business and legislative leaders and public school teachers and promoted the pursuit of science to high school students.

Challenges

The major challenge facing the college is retaining faculty who have established international reputations through their research. The college is addressing this concern by using its development office to seek funds for endowed chairs, new research facilities, and state of the art instrumentation and instructional space.

Attracting the brightest graduate students remains a challenge. Departments have responded to this challenge by applying for grants that specifically target recruitment. These recruitment efforts must be maintained in order for the college to retain its best researchers.

Diversity among faculty and graduate students remains a challenge. Recognizing that the demographics of the state of Utah make this an especially difficult problem to overcome, the departments have done their best to make offers to underrepresented groups. Although there has been some success, the problem persists. The college is determined to rectify this situation, and continues to encourage its departments to seek and recruit in this area.

Interdisciplinary research is becoming more important in tackling the complex problems and challenges of contemporary science. Such research will not flourish until it has an identifiable home distinct from existing units and space. The University's role in the Utah Science, Technology and Research Initiative will help provide this space and create the groups of scientists, which will integrate the college's faculty.

As noted in Science Exhibit VIII, the number of student credit hours in the college has increased 20% since 1999-2000 and yet the faculty head count has slightly declined over this period. New faculty lines for the college should be a priority for the University.

The college should promote the Honors Program so that our very talented undergraduates can participate in a unique college experience, which should include a research project. All of the departments in the college already participate in the Honors Program, but more effort is needed to identify and then advise talented students to complete an Honors degree.

College of Social and Behavioral Science

Central Aims and Purposes

The College of Social and Behavioral Science and its constituent departments and programs reassert their commitment to the values and mission embodied in the following statement.

"In pursuit of excellence we work to advance knowledge and instruction in the foundations of social and behavioral science which, in turn, contributes directly or indirectly to improvements in the quality of life. We feel a special obligation to use our expertise to apply social science principles and findings to issues in social policy, emphasizing the human factor in policy analysis, and the quality of life."

To accomplish these goals we are dedicated to: (1) providing a scholarly environment for the advancement of knowledge in which ideas can be expressed, challenged, respected, and nurtured; (2) developing new modes of learning to enhance the educational experiences of our students; (3) creating interdisciplinary programs that enable our students to meet the needs of business, industry, government, and education; and (4) sustaining a service environment that brings the University to the community and the community to the University. (Focus On the Human Factor: Investing in People, College of Social and Behavioral Science Vision Statement, 3-28-2000, *http://www.csbs.utah.edu/mission*.html and reaffirmed in College of Social and Behavioral Science Strategic Plan, 2004, *http://www.csbs.utah.edu/strategic_plan.html*.)

Strategic Objectives (Strategic Plan, 2004)

The College of Social and Behavioral Science has identified a series of strategic objectives that will help shape its future, including:

- enhancing interdisciplinary teaching, research, and service, in part by creating an Institute of Public and International Affairs,
- investing in areas of disciplinary strength and focus while pursuing new areas of opportunity, which may entail additional faculty lines,
- closing the approximately $1 million faculty compensation gap between the college and the University as a whole, in part by "hardening" the productivity fund,
- enhancing education and engaged learning through improved quality of opportunities for undergraduate research and service under close faculty supervision along with better academic advising, and
- enhancing opportunities for community-based research and teaching in part by raising development funds for student and faculty international travel, exchanges, research, and the creation of programs to promote connections of faculty and students in all departments with people and issues worldwide.

Description

The College of Social and Behavioral Science administers seven academic departments, three Reserve Office Training Corps (ROTC) units, and four interdisciplinary programs. Its Departments of Anthropology, Economics, Geography, Political Science, Psychology, and Sociology each offer bachelor's, master's, and doctoral degrees under their departmental title. The Department of Family and Consumer Studies offers two majors for the bachelor's degree, human development and family studies (including a focus in early childhood education) and consumer and community studies, and a master's in human ecology. The Department of Political Science offers a Master of Public Administration in addition to its departmental master's. The three ROTC units, aerospace studies, military science, and naval science, each offers an undergraduate minor as does each of the academic departments.

The college's interdisciplinary instructional programs, Behavioral Science and Health, Environmental Studies, Gender Studies, and Social Science Composite (secondary teaching), offer bachelor's degrees, and Gender Studies Program (a unit of the college only for undergraduate curricular purposes and administered directly by the college academic vice president) also offers an undergraduate minor. Each of the interdisciplinary programs combines courses from many departments across several colleges (behavioral science and health and environmental studies programs originate only one course and the social science composite originates none), but only the Gender Studies Program has tenured/tenure-track faculty appointments.

Other special certificate or academic minors are also offered: campaign management, criminology, demography, ethics and public affairs, early childhood education, geographic information science, human factors in engineering, and international relations.

Departmental and program mission and objectives are disciplinary refinements of those for the college as a whole. They may be found in their self-studies, which are located in the College of Social and Behavioral Science's exhibits. Curricular designs are addressed there and in responses to external/internal program reviews. Details of the instructional programs' curricula in support of those objectives may be found in the University *General Catalog* or the "major sheets" at *http://www.sa.utah.edu/advise/ms/*. In 2002-2003, the departments in the college offered more than 142 general education course sections on the main campus and 24 more at satellite campuses in the Salt Lake valley. These courses are regularly reviewed by the University Undergraduate Council.

The College of Social and Behavioral Science also houses several research and service units with separate identities, although they may be administered through an academic department or report directly to the dean depending on their mission and considerations of administrative efficiency. These units include:

- American West Center
- Archaeological Center
- Center for Public Policy and Administration
- Center for Natural and Technological Hazards
- Child and Family Development Center
- Digitally Integrated Geographic Information Technologies Laboratory
- Hinckley Institute of Politics
- The recently approved (June 2005) Institute of Public and International Affairs was established to encourage interdisciplinary research, teaching and service in the areas of applied politics, public policy, and international socio-political-economics and cross-border security studies. The interdisciplinary instructional programs and research centers are conceived to become integrated parts of the fledgling institute.

College of Social and Behavioral Science units are distributed across campus and none of the buildings' classrooms are used exclusively by college units. College computing connects all units in a secure, redundant network (data stored on the network are backed-up twice daily) with a combination of private fiber and across the campus backbone, with its main servers and back-up storage in Orson Spencer Hall and contract, off-site, back-up, secure storage. It manages and maintains 20-40-seat student computing laboratories (24/7 card swipe access is the standard but not universal) for group instruction (principally in statistics) and open individual computing in more than five buildings serving approximately 5,000 faculty, staff, and student users.

A summary of the teaching activities of the college is drawn from statistical summaries from the Office of Budget and Institutional Analysis:

- 3,489 undergraduate and 475 graduate student majors in fall 2004 (compared to 3,424 and 474, respectively, in fall 1995)
- 122,685 student credit hours (SCH) taught in 2004-05, 17% of the University's nonmedical total (compared to 101,533 in 2000-01 and a semester-equivalent of 102,093 in 1994-95)

- 25% of the University's increase in nonmedical SCH 2000-01 to 2004-05
- 17,906 SCH taught in summer 2004; 19% of the University's nonmedical total (compared to 16,368, 17 %, in summer 2000)
- 14,966 SCH taught off-campus in 2004-05; 36% of the University's nonmedical total (compared to 10,574, 29%, 1999-00 and to 9,177, 26%, in 2002-03)
- full major requirements available at night on-campus in economics, human development and family studies, political science, psychology, and sociology
- full majors also available off-campus at Bountiful and south Salt Lake County continuing education sites in economics, psychology, and sociology
- 1,690 degrees awarded in 2004-05: 1,579 bachelor's, 88 master's, 23 doctorates (compared to 1,192 degrees in 1994-95: 1,104 bachelor's and 88 combined graduate degrees)
- awards 30% of bachelor's and 6% of graduate University of Utah degrees
- increases, impacting all departments, of 14% in majors, 21% in SCH, and 28% in degrees from 2000-01 to 2004-05
- 137 tenured or tenure-track faculty (138 in 1994-95) 10% of University of Utah
- 24% of college tenured or tenure-track faculty untenured in 2004-05
- 43 women tenured or tenure-track faculty in 2004-05, comprising 12% of University of Utah tenured or tenure-track women. This compares to 38 women in 2000-01
- total expenditures in 2003-04: $24,611,000
- base "hard" budget for 2005-06: $10,744,642
- instructional productivity funds earned in 2004-05 for 2005-06: $2,710,533
- expenditures for sponsored research and public service in 2003-04: $5,625,000 (compared to $3,741,000 in 1995)

Table 2.19 shows the college's fall enrollments by major and academic year for the years 2000-2004. Table 2.20 shows the college's tenured or tenure-eligible faculty 2000-2004.

Table 2.19: Fall Enrollment by Major and Academic Year: College of Social and Behavioral Science

	2000	2001	2002	2003	2004
Undergraduate Students					
Premajors	649	824	818	690	731
Intermediate Majors (Psychology)	219	221	238	325	319
Full Majors	3,092	3,246	3,485	3,472	3,489
Graduate Students					
Master's	244	249	242	273	296
Doctorates	132	138	149	167	179
Total	3,468	3,633	3,876	3,912	3,964

Table 2.20: Tenured or Tenure-Track Faculty (Fall Semester): College of Social and Behavioral Science

	2000	2001	2002	2003	2004
College Total	**134**	**128**	**128**	**137**	**139**

For a complete listing by department of majors, faculty, degrees awarded, and credit hour production, please see the College of Social and Behavioral Sciences Self-Study.

Significant Changes

Significant events since 1996 include conversion from a quarter to semester academic calendar effective fall 1998, provisions for which were being made during the last accreditation review. Conversion was accompanied by a reduction of one-third (to four courses) in the standard 9-month course teaching load for faculty but required consolidation and elimination of approximately one-third of the courses in each department's curriculum. As a result, many highly specialized and/or poorly enrolled courses were eliminated, and departments increased the typical minimum enrollments (to 20-25 at the undergraduate level, 8-10 at the graduate level) for a course to be offered and thus the frequency with which many courses were offered. The smallest course sections were reduced in number, but typically this did not result in a sharp increase in large (over 120 students) lectures simply because the space available on campus did not permit doing so. Space constraints were mitigated by improvements in scheduling to better match course attributes to classroom characteristics, more complete standardization of course offering times, concerted efforts to lengthen the instructional day (start earlier, extend "prime-time" across the noon hour, fuller evening schedules), first in the College of Social and Behavioral Science and subsequently across campus. Faculty members taught fewer courses per year but to higher average enrollments through reduced offerings of highly specialized, low student demand courses. (This change was reinforced by the introduction of an SCH based budget paradigm for fiscal year 2000-01 that was applied incrementally.)

Importantly, the conversion also required units to devote more attention to scheduling and student advising, in order to mitigate the effects of the changes on students, maintain enrollments and graduation rates, and reduce student complaints. Departments in the college were successful in a smooth conversion and have continued their increased emphasis on advising and the availability of advisors. All departments use a combination of staff advisors with faculty referrals. Central provision of Web-based advising tools; closer coordination among departments, colleges, the University's college advising and orientation office; and better cooperation among student services (e.g., the Offices of Admissions, Financial Aid,

Closing the Loop: Responding to Student Realities

The campus decision to adopt a semester schedule gave the College of Social and Behavioral Sciences an opportunity to respond to changing student demographics and lifestyles. It was recognized that most undergraduate majors in the college were and are employed, working more than 30 hours a week, and going to school only part time. To respond to these factors, departments increased undergraduate student access to courses through increased summer term course offerings. They also provided more night classes in high demand majors and offered additional courses at Bountiful and south Salt Lake County off-campus sites. Departments in the college have continued their commitment to access for working and part time students and in 2004-05 reaffirmed that commitment through an agreement with the Office of Continuing Education (managers of the off-campus sites) that reduced the fiscal sacrifice in doing so.

Registrar, Income Accounting, and individual instructional units) all have contributed to success, to the pleasure of college advisors and the benefit of their students.

Expansion and improvement of College of Social and Behavioral Science student computing/statistics laboratories, first in the Marriott Library and subsequently in the Behavioral Science Building and Orson Spencer Hall, have meant that statistics and research methods courses, taught by all academic departments in the college (except anthropology), could become "hands-on" in the new curriculum that evolved from the change to a semester system. The improved computing facilities enhanced instruction through allowing greater student access to data sets. Online statistics courses (e.g., Psychology 3000) have further enhanced access for some students, but the labs continue to play a major role in access for many undergraduates.

Introduction of a new incremental SCH-based budget paradigm had effects on course scheduling and some reduction in off-campus course offerings, as previously noted. The budget paradigm recognized 1998-99, the first year on semesters, as the base and paid in the 2000-01 fiscal year for increments in SCH during 1999-2000. Importantly for the college, the budget paradigm recognized and continued to pay (at historical rates) for SCH. These rates were at levels that had been generated in the past by departments through continuing education in the evening, off campus, and in the summer. Departments had become highly dependent on those funding sources in order to pay for their nonpersonnel operating costs (about 2-3% of their base budgets).

Departments also used the money to support graduate students who did much of the teaching or replacement teaching for faculty who were teaching continuing education classes rather than day classes. Then, as now, faculty over-load teaching during the regular academic year for additional pay was very unusual and strongly discouraged. The budget paradigm reduced uncertainty regarding how and whether payment would be made for nonday courses outside of the 9-month academic calendar. At the same time, there remained uncertainty regarding how much would be received, based on uncertain enrollments, reflecting the difficulty of forecasting and meeting student demand. The new budget paradigm focused the attention of instructional units on providing students with satisfying instructional experiences. Departments have benefitted under it. It has made possible the first of several planned steps toward reducing the college faculty's large salary disadvantage with their peers, through the centrally approved "hardening" into base faculty salaries of productivity funds for the 2005-06 fiscal year. These funds will be focused on faculty at risk of "raiding" by other institutions, and on the basis of individual merit, retention, and equity.

Periodic budget cuts have been endemic in the fiscal history of the University in the last several decades. We were facing such cuts at the time of the last accreditation review. We also faced a series of soft and hard base budget cuts in 2001-02 and 2002-03. The responses to these measures and the directive to protect academic programs led to the cutting of several staff positions and reorganization of activities in the American West Center, the Center for Public Policy and Administration, and in college computing. Additional soft cuts were also required, but the base cut had the strongest impact. Departments paid their share from open faculty lines, teaching assistant base funds, and any remaining hard-funded nonpersonnel accounts. The result was a greater reliance on soft, productivity money to support graduate students and pay operating costs. However, some genuine efficiencies were achieved in administrative support, and departments were even more focused on serving students since the payouts under the SCH-based budget paradigm continued to be honored.

Significant curricular changes include:

- The doctoral program in sociology was revitalized. Admissions had been suspended after a 1996 internal/external review. Now focused on comparative international sociology and population and health, the department concluded a very satisfactory internal/external review in 2005.
- Two low-yield undergraduate majors in family and consumer studies (consumer studies and family economics and environment and behavior) were terminated and combined into a new major, consumer and community studies.
- Several low yield secondary teaching majors (anthropology, economics, political science, psychology, and sociology) were eliminated, whereas higher yielding ones in geography, social science composite, and early childhood education (K-3) were substantially revised to national (National Council for the Social Studies, National Council for Accreditation of Teacher Education) standards and in line with the curriculum of Utah secondary schools. The terminations of majors were carried out while protecting continuing students.
- Urban planning moved from geography to architecture.
- An interdisciplinary Master of Public Policy, approved June 2005 by the Board of Regents to be administered through the Center for Public Policy and Administration with the degree granted by the college, will admit students for fall 2006. The newly approved Master of Public Policy is the first of several new interdisciplinary graduate programs for which proposals are being developed as part of the Institute for Public and International Affairs.

Analysis and Appraisal

A recommendation of the last accreditation review was for systematic assessment of outcomes. All of the very diverse instructional programs of units in the College of Social and Behavioral Science now carry out such assessment. They use course examinations; capstone courses; student papers; student course and instructor evaluations; interviews of students; exit surveys of graduating students; student commentary through undergraduate, graduate, and alumnae organizations; alumnae surveys; employer feedback; standardized professional examinations; and the monitoring of student class registration, completion, graduation, employment, and graduate school acceptance data. The mix of assessment techniques varies by program and reflects the size and objectives of the program and the demographics of its students. The use of the assessment results in program revision has been episodic in the past, usually in response to apparent problems, and an occasional source of recommendations in otherwise favorable external reviews of the instructional programs. All departments are now committed to continuous assessment and review.

Only a few examples of the ways in which departments have responded to assessment with program revisions will be cited.

- The Behavioral Science and Health Program relied for many years exclusively on courses taught in cooperating departments, but interviews of student majors by the co-directors and advisors indicated a lack of institutionalized integration of the curriculum. A required capstone course was offered in spring 2005 with seed money from the college bringing to the classroom recognized national authorities on various aspects of behavioral health with the codirectors leading the discussion. Student course evaluations showed strong support and led to refinements for spring 2006, with the course now focusing on current issues in health and health care and financed on a continuing basis through the SCH driven budget paradigm.

- In the Environmental Studies Program, student complaints centered on the major's required introductory course, Environmental Studies 3100, Introduction to Environmental Studies. It was difficult to assess whether this complaint was limited to a few vocal students, or if the majority of the students in the major had the same complaint. In 2004, the Environmental Studies Program sent surveys to current majors and past graduates of the program, with the goal of learning how to make specific changes that would improve the major's educational experience. When asked about the worst course in the major, one-third of all the respondents cited Environmental Studies 3100, and 27% recommended revising the course. In order to determine how best to change the course, the Environmental Studies Student Advisory Committee sought suggestions from peers, students were interviewed about the course during advising sessions, and past instructors of the course offered input and advice. Changes to the course included a course number change from 3100 to 2100, offering the course twice a year instead of once, and the course structure changed from having three instructors each presenting his or her disciplinary perspective on environmental issues, to having one instructor and a series of weekly guest lectures by faculty presenting discipline-specific environmental research. This new format provided cohesiveness to the course by having only one instructor and introduced students to a multitude of disciplinary perspectives from the social sciences, sciences, and humanities. Students have commented that they learned about topics of which they were unaware, and it introduced them to courses taught by faculty they might have disregarded. These changes appear to have been successful overall. Student enrollment in the course has had an overall increase, with 114 students registered for Environmental Studies 3100 in fall 2003 and 167 students registered during the 2004-2005 school year. In addition, course evaluation scores improved. In fall 2003, the composite score for Environmental Studies 3100 was 4.26. By spring 2005, the composite score for Environmental Studies 2100 was 5.27. It is hoped this course will continue to improve as we receive more feedback from students.

Closing the Loop: Revising the Economics Curriculum

The Department of Economics, through advisor interviews with its majors, found a high level of dissatisfaction with Economics 3600, a required five-credit-hour course that combined statistics and calculus. Problems were confirmed with the faculty and, in consultation with the undergraduate Economics Student Advisory Committee, two new required three-credit-hour courses were developed, Economics 3620, Mathematics for Economists and Economics 3640, and Probability and Statistical Inference, replacing the unsatisfactory Economics 3600. Student success and satisfaction data are being collected currently.

All department chairs review the course/instructor evaluations regularly and promptly address student quality concerns. Student complaints and appeals related to instruction reaching the college office affect every department, but are small in number in comparison to enrollments, averaging one complaint per department per calendar year. Although most student concerns are appropriately resolved in the departments and do not reach the college office, that number is startlingly small in comparison to more than 40,000 registrations in the College of Social and Behavioral Studies annually.

Student responses on University common course/instructor evaluation forms show a high degree of student satisfaction with the quality of the college's courses and instructors, approximately 5 and above on the instrument's 6-point scale, with individual departmental averages at or above the University averages. That is to be expected since some faculty have been recipients of nondepartmental teaching awards in every department and as high as 40% in psychology and family and consumer studies. Students responding to surveys indicate generally high satisfaction (not without occasional complaint) with the variety of courses, diversity of approaches, and quality of instructional preparation for graduate education (in which about half of the bachelor's graduates indicate an interest). External reviews have noted as much in every case.

Students have been somewhat less sanguine about their preparation for practical employment. They find jobs and typically in areas that are at least broadly related to their field of study, judging from alumnae responses and career services data, but the exit survey data indicate the process has been stressful. Of the undergraduate majors, only the few teaching majors are oriented toward a particular job. Predictably, those graduates have excelled both on professional examinations and upon completing the licensure requirements readily found employment in their specific specialty.

Among the master's students, the Master of Public Administration graduates and geographic information analysis specialty students have been the most reliable routes to specific major related employment. Doctoral graduates have generally gone to academic careers at research extensive or intensive universities, to highly ranked liberal arts colleges, and government or private sector research/clinical positions. Placement rates have been found to be satisfactory in all of the external reviews.

External reviewers have especially praised the role of individualized research and study opportunities for undergraduates in the college's units. In all departments, undergraduates participate in departmental independent study-individualized research with a faculty member, University Research Opportunities program, honors theses, service learning, and directed internships resulting in approximately 1,000 registrations per semester. Service learning activities in the local community are found across most departments in the college with several actively involved with the University Neighborhood Partners. The Departments of Psychology and Family and Consumer Studies have been especially commended for their participation in service learning, as has the modes of learning element of the psychology curriculum. Hinckley Institute of Politics internships are open to all majors, but have been especially attractive to political science majors. Recommendations for greater numbers of internship have come from alumnae surveys and reviews in behavioral science and health, economics, and environmental studies. All three units are responding with efforts to increase internships.

The most fundamental assessor of student outcomes is data on graduation and persistence. Approximately 60% of the college's undergraduate majors are transfer students. We are very active in working with other institutions in Utah State Higher Education through the Commissioner's Office of Higher Education and, under State Board of Regents and legislative mandate, meeting at least once a year with disciplinary representatives from all of the Utah System of Higher Education schools. In addition, we meet more often with representatives from our largest feeder, Salt Lake Community College. Still, many transfer students who come with well-developed ideas about their future major change their mind, either because of lack of success or because of exposure to an expanded set of alternatives. At orientation for new, nontransfer students, only approximately 10% will declare an interest in a major in one of the College of Social and Behavioral Science's programs, but 30% of those who earn a bachelor's degree will do so in the college. They will often come to the College of Social and Behavioral Science after another major, i.e., are internal transfers. Typically, students declare their College of Social and Behavioral Science major in their junior year, and this has not changed in spite of significant resources devoted to advising new students by both the college programs and by University College, with which we coordinate extensively, meeting with one or more representatives weekly. There is some churning of majors among our various programs themselves, which is facilitated by the college's requirement for students in departmental majors to complete allied coursework outside the department since the requirement will often be met with courses in another department within the college.

On average undergraduate students majoring in one of the college's programs take 11.7 SCH per term, requiring at that rate four terms to complete the major and allied work requirements in the college, if that were all the courses they took. Our typical (if not exactly the statistical average) undergraduate student, by the time she or he is a senior, is working 30 or more hours per week, is married or has children, or both. Many of them are nontraditional students who have returned to University studies after an extended absence. Given their family and work choices, not surprisingly they frequently stop in and out of school for a term, not necessarily in the summer. As a result, they spend several years as statistical seniors, resulting in departments serving many more students than are indicated by the data on numbers of majors, which reflect only actual registrations for fall semester. Through online, distance education, evening, and off-campus courses, College of Social and Behavioral Science undergraduate programs have arranged the offering of curriculum to accommodate the life choices of our students and to facilitate their meeting of graduation requirements. Often this occurs by providing an extra course in a semester beyond that for which they could register on campus during the day schedule. Nevertheless, undergraduate exit surveys indicate a desire for greater availability of courses and class times to facilitate graduation.

We have noted a 14% increase in majors but a 28% increase in degrees awarded since 2000-01. Increasing the number of degrees awarded faster than the increase in declared majors would seem to imply shortening times to graduation. The Office of Budget and Institutional Analysis data count all full- or part-time students declared in the major who are juniors or seniors (students are repeatedly strongly advised to declare a major by their junior year) in the cohort year. Students may simply declare a premajor but must be coded into an intermediate or full major by that department's advisor. The data in Table 2.21 show variation year to year and among majors, but indicate 3-year graduation rates for the cohorts of 70-80% and some tendency for the rates to increase over time.

Strategic Planning

A common recommendation from the internal/external departmental reviews in the last few years has been to undertake more extensive strategic planning. The departments prepared strategic plans, leading to the College of Social and Behavioral Science's strategic plan document of 2004 that addresses core college goals, vision, and values that reflect scholarly productivity and quality. All units in the college have committed to achieving quality in our three main areas of responsibility, teaching, research, and service. Assessment is an integral part of our planning commitment, and the college has identified a set of "quality indicators" that reflect central aspects of quality in faculty/

Table 2.21: Three-Year Graduation and Persistence of College of Social and Behavioral Science Majors

All Full- or Part-time, Intermediate or Full Majors, With More Than 59 SCH

Cohort Year	Department	Total in Cohort	Graduated Within 3 Years in Same Department	3-Year Completion Rate (%) Same Department	3-Year Completion Rate (%) in Same or Different Department	Persistence: (%) Graduated or Still Enrolled as of 3rd Spring
2000-01	ANTHR		58	61%	79%	90%
2001-02	ANTHR	120	76	63%	95%	87%
2002-03	ANTHR	128	87	68%	79%	87%
2000-04	BSH	178	125	70%	81%	87%
2001-02	BSH	184	137	74%	82%	86%
2002-03	BSH	156	121	78%	85%	88%
2000-01	ECON	178	119	67%	77%	84%
2001-02	ECON	250	172	69%	77%	86%
2002-03	ECON	352	270	77%	83%	87%
2000-01	ENVST	50	31	62%	78%	88%
2001-02	ENVST	60	41	68%	85%	88%
2002-03	ENVST	59	37	63%	80%	88%
2000-01	FCS	421	309	73%	82%	88%
2001-02	FCS	357	270	76%	85%	89%
2002-03	FCS	345	267	77%	85%	88%
2000-01	GEOGR	67	53	79%	80%	81%
2001-02	GEOGR	85	67	79%	82%	83%
2002-03	GEOGR	84	73	87%	94%	96%
2000-01	POL S	286	201	70%	78%	85%
2001-02	POL S	348	239	69%	77%	85%
2002-03	POL S	414	293	71%	80%	87%
2000-01	PSYCH	422	284	67%	78%	87%
2001-02	PSYCH	414	272	66%	80%	86%
2002-03	PSYCH	436	291	67%	81%	88%
2000-01	SOC	235	165	70%	75%	80%
2001-02	SOC	210	148	70%	76%	82%
2002-03	SOC	246	172	70%	76%	83%
2000-01	SSCT	13	9	69%	77%	77%
2001-02	SSCT	10	7	70%	70%	80%
2002-03	SSCT	17	10	59%	59%	77%

departmental performance. These include publications, citations, editorships, external funding, national and University awards, department rankings, successful dissertation defenses, and teaching/course evaluations. Many of the objectives in individual unit plans are tied specifically to those quality indicators. Units also specify additional measures of performance deemed appropriate to the unit's mission, goals, and objectives. Strategic planning is being carried out as a continuous exercise including curriculum and program review.

The college's strategy of intradisciplinary specialization and interdisciplinary advancement is the only viable strategy available given existing and expected resource constraints. All of the departments have been driven by resource stringency toward greater focus and specialized niches in their disciplines, especially in graduate education. Departments will continue to build on their existing strengths while maintaining competence in other subfields. There is already strong disciplinary focus (although none exclusively since comprehensiveness in the undergraduate teaching mission is still honored) that is being enhanced in the various departmental plans. For example:

- Anthropology: biological anthropology
- Economics: heterodox economics methods and analysis
- Family and Consumer Studies: human and family/community studies and lifespan development
- Geography: geographic information (spatial/physical) systems analysis
- Political Science: American government and public administration
- Psychology (the largest department): several foci at the intersection of disciplinary subfields: health psychology, child clinical and family psychology, and neuropsychology
- Sociology: quantitative comparative international sociology and population and health

The departments and faculty in the College of Social and Behavioral Science are committed to continued involvement and collaboration with the interdisciplinary academic programs in ethnic studies, gender studies, the Middle East Center, international studies, Asian studies, and Latin American studies.

Faculty Productivity

Across the college's units, internal/external reviews have pointed to the high productivity of the faculty in terms of SCH, majors, and degrees and called for increases in faculty lines for each unit. As noted above, the faculty has returned to its 1996 level. Departments plan to seek additional faculty lines when possible, but in any case will maintain their current disciplinary focus while pursuing new areas of opportunity. Those new opportunities and new faculty lines are likely to arrive primarily through the interdisciplinary initiatives of the Institute of Public and International Affairs. Interdisciplinary strength already exists in environmental studies, behavioral science and health, diversity studies (ethnic, gender, and socioeconomic class), cultural-geographic area and international studies, and population studies. In all of these areas there are abundant collaborations by individual college faculty across departmental and college boundaries and some structural support. The Institute of Public and International Affairs has been formed to increase that structural support.

The initiative of the Institute of Public and International Affairs to increase support for faculty collaboration is responsive to the internal/external reviews that have typically pointed to increasing scholarly publications, but have called for more support (release time, travel funds, space, and space/lab upgrading) for faculty research, more support for graduate students, and increased external grant funding (although faculty in some units, e.g., geography and psychology, as well as a significant part of the faculty in family and consumer studies, have been commended for their performance in this latter area).

The Department of Psychology has received approximately $2 million in new awards per year for the last 7 years, and a much smaller Department of Geography faculty have received $0.7 million in new awards per year for the last 3 years. All units have generated some external research support. Faculty published research productivity has increased in all departments in recent years, varying by department and year, from one to three peer reviewed publications per faculty member per year (higher in disciplines where journal articles are the norm, lower where the focus is on books) with declining numbers who have not published recently. Tenured faculty formal reviews, which are comparable to tenure reviews, are carried out every 5 years. Faculty members who have not published recently are counseled to increase research productivity (the preferred option) or to reduce the portion of their workload attributed to research and increase the share devoted to teaching. Several faculty members have reached agreements with their departmental chairperson for increased teaching and reduced research commitments.

Creation of the Institute of Public and International Affairs is central to the college's strategic plan to increase faculty support. It will provide an enhanced institutional structure in support of expanding many of the kinds of interdisciplinary activities now underway as well as new collaborations, increasing, strengthening, and coordinating existing University of Utah capabilities in a number of related areas. A search is now underway for a director and another senior researcher who would be tenured in an appropriate academic department. However, the interdisciplinary search committees are carrying out the search without preference to the discipline of the candidates, so long as their work is focused on public policy. Already there are new academic programs in public policy and campaign management.

Interdisciplinary faculty research groups have been formed in demography, behavioral health, "failed states," migration, terrorism, and globalization and ethics. They are preparing papers for a November 2005 conference. A seed grant program has been established and a call has gone out to faculty researchers to affiliate with the Institute of Public and International Affairs. (There is another well-established research seed grant program in the college that will continue to make awards without regard to the public policy relevance of the proposals.) An external grants manager has been hired to facilitate affiliated faculty members' application and administration of external grants. Although, in the short run, the Institute of Public and International Affairs operations are supported by gifts and new base-funded faculty appointments (the open searches noted previously) and with new space allocation by central administration, it must generate external research funds to achieve its mission.

Diversity

Diversity recruitment of faculty and of students is a continuing challenge. The college has had some success in faculty recruitment as shown in Table 2.22, but more needs to be done; we are far short of gender parity. Women earned the majority of degrees awarded in 2004-05 in anthropology, behavioral science and health, family and consumer studies, psychology, social science composite teaching, and in the college as a whole: 831 bachelor's degrees and 54 graduate degrees versus 748 and 57, respectively, for men. In general women faculty are prevalent in the same disciplines as women students.

Faculty Compensation

The departmental internal/external reviews have consistently pointed to the salary gap relative to disciplinary means, noting the need for more fiscal resources in each case. Departments throughout the college are increasingly at a salary disadvantage with respect to other public research universities, losing ground in comparison to other research-extensive institutions and in comparison to other disciplines in the University at both the professor and assistant professor ranks. (Data prepared by the Office of Budget and Institutional Analysis indicate that for all ranks, average levels of compensation in the college as a percent of research-extensive comparisons in the University of Oklahoma Survey are 81.1%, lowest of the larger colleges in the University. By comparison, the University as a whole is at 90.8%.) Base budget cuts over the last decade and authorized cannibalization to maintain some semblance of salary competitiveness have resulted in fewer faculty members (fall 1993, 177; fall 1999, 134; fall 2003, 134) but many more students (fiscal year 1999, 100,063 SCH; fiscal year 2003, 123,139 SCH) in most departments. The approved "hardening" into

Table 2.22: Ethnic and Gender Diversity in College of Social and Behavioral Science Faculty, Fall 2004

Department	Caucasian		Ethnic Minority		Total	
	F	M	F	M	F	M
Anthropology	3	11	0	0	3	11
Economics	2	15	0	2	2	17
Family and Consumer Studies	7	7	1	2	8	9
Geography	2	6	1	1	3	7
Political Science	4	18	3	3	7	21
Psychology	13	16	2	4	15	20
Sociology	3	7	2	4	5	11
College Total	**34**	**80**	**9**	**16**	**43**	**96**

* African American or Black (1), American Indian or Alaska Native (0), Asian or Native Hawaiian or Pacific Islander (11), Hispanic or Latino (5) and Nonresident Alien (8)

base faculty salaries of $164,950 from productivity funds for the 2005-06 fiscal year is a first step that will need to be continued if departments in the college are to be competitive for retention and recruitment of highly productive scholars (Table 2.23).

If we continue, the following issues are sure to arise: Graduate students have been supported by the soft productivity funds even as they have contributed to their generation through teaching. SCH production may be maintained through elimination of small class sections and moving to fewer sections but of somewhat larger size. Faculty members may teach fewer specialty courses, less often, but to larger enrollments. This may maintain SCH, but it will not allow us to support graduate students in the same way as in the past. Support for graduate students will need to be replaced through greater emphasis on externally funded research grants, contracts, and scholarships/fellowships. Support may also be maintained through spreading support less thinly by accelerating progress toward completion of degree programs, i.e., shortening time to degree through reorganization of graduate programs, while maintaining or increasing their quality. These instructional programs, however, are most threatened if we fail to regain a competitive salary structure.

Travel funds and support for faculty scholarship and intellectual exchange may also have to be replaced by tactics similar to those above since soft productivity funds have often been expended in this way. Copying, phone service, and staff support, too, will need to be funded differently than in the past. However, these changes will be incrementally phased in over time. In addition, more endowed chairs (there are two), professorships, and faculty awards for excellence are needed to enable departments to recruit, retain, and allow eminent scholars to strengthen their reputation for research and teaching, locally and nationally.

Student Recruitment, Stipends, and Time to Completion

Internal/external reviews in every department have raised the related issues of inadequate (in annual amount, number, and guaranteed longevity) graduate student stipends, recruitment, and retention of the most capable graduate students, and the length of time to degree. Competitive financial aid packages for graduate and undergraduate students (scholarships, fellowships, and assistantships) are needed to enable the college to compete for outstanding students. There has been some progress. Stipends have been raised. Typically 10 graduate student scholarships are available annually from the college in addition to departmental stipends. Annual undergraduate

Table 2.23: Rough Calculations of the Dollar Amounts Necessary to Bring College of Social and Behavioral Science Average Departmental Salaries to 90.8% (University of Utah Average) of Public Research-Extensive (RE) Mean

Department	2002-2003 % RE Mean	2003-04 Mean Salary	Salary Shortfall	Number of Faculty	Total Gap
Anthropology	88.5	$62,168	$1,616	13	$22,619
Economics	71.2	$65,709	$18,088	19	$343,680
Family and Consumer Studies	91.1	$58,169	----------	16	-----------
Geography	80.7	$57,442	$7,189	10	$71,891
Political Science	76.3	$51,998	$9,882	27	$266,805
Psychology	82.1	$67,559	$7,159	36	$257,728
Sociology	88.2	$56,105	$1,653	13	$21,500

tuition scholarships based in the college have increased by 28 since the last accreditation review. Base budgeted funds for teaching assistant and research assistant support have often been used by departments to absorb historical budget cuts, replacing that support partially with soft instructional productivity funds, as noted above. Next year, the support level required by The Graduate School for departmental graduate stipends to be eligible for full tuition waiver will rise to $10,000 for 9 months. This will require a modest increase in support levels in all departments --but will still leave them well below peer institutions in the competition for the most capable graduate students. The college participates with high school recruitment and University College in a variety of activities to recruit exceptionally able undergraduates and transfer students from the 2-year schools in the state.

Other Challenges

There will be continued efforts to expand and revise our methods of assessment of student outcomes and to integrate the results into further improvements in instruction.

Departments are committed to further enhancing the quality of outcomes and opportunities for undergraduate research and service under close faculty supervision, but increases in the number of such experiences will be highly targeted. Enhanced academic advising by college faculty and staff in cooperation with University College and various elements of student services are key to creating a better match between students' skills and interests and their faculty supervised experiences. Increasingly, the community relevant to teaching, research, and even outreach, in all of the social and behavioral sciences, is international. New international initiatives through the Institute of Public and International Affairs and expansion of current initiatives require funding for teaching and research on international issues in all of the college's departments and programs. Through targeted development efforts over the next 5 years, $3 million funding will be sought for student and faculty international travel, exchanges, research, and the creation of programs and centers that enable the establishment in all the departments and programs of worldwide connections of faculty and students at the University of Utah with people and issues worldwide.

An additional dozen faculty lines are expected as part of the Institute of Public and International Affairs over the next decade (two are being recruited now). Since the institute will not tenure faculty, these lines will be in departments. Departmental faculty interested in pursuing public policy-oriented interdisciplinary research, teaching, and service will be encouraged to affiliate with the institute, giving them increased access to support directly, while freeing other departmental resources for their colleagues. The college will seek $13 million in the Capital Campaign for programs and operations of the Institute of Public and International Affairs. An additional $5-$20 million will be sought in the campaign to support the future needs of the institute for space: offices, instruction, research, and outreach activities. Working with other colleges that provide substantial instruction in the central campus, we will continue to pursue support for a new classroom building.

All departments will continue their efforts to increase faculty and student diversity by aggressive cooperation in University-wide initiatives. The traditionally female program of family and consumer studies will try to attract more male students while geography and economics, with a rare doctoral specialty in feminist economics, are attempting to recruit more female students.

With continued permission and support from the highest levels of University administration, we will move aggressively via a 5-year commitment to significantly close the faculty salary gap primarily by "hardening" "productivity funds" into salaries while maintaining SCH production. This aggressive collegewide salary program will target merit, equity, and mobility and fund preemptive salary increases for faculty members at risk for external recruitment. We shall proceed cautiously. Although the college is committed to a 5-year schedule to close the gap, individual departments will proceed at different paces. Plans and policy will be subject to revision in response to changes in environment and opportunities.

Competitive financial aid packages for graduate and undergraduate students (scholarships, fellowships, and assistantships) will enable the college to compete for outstanding students. While the College of Social and Behavioral Science continues to seek public funding to maintain and expand excellence among our faculty and students, we will endeavor to raise $3 million for this purpose through the Capital Campaign. Departments will aggressively pursue proactive professional networking in combination with support packages to recruit graduate students. Factors other than financial ones that may lengthen time to degree will be investigated.

Summary

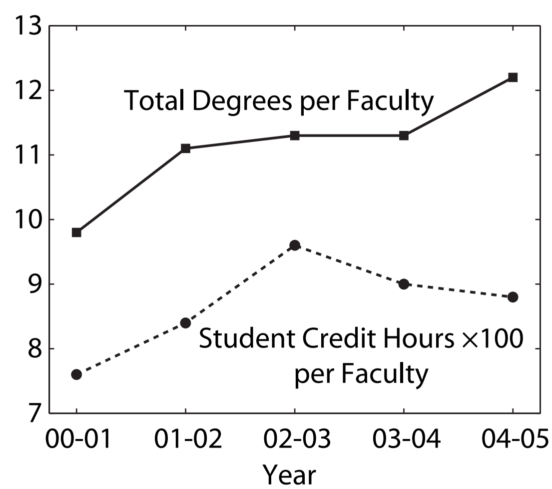
Commendations

- Departments and programs in the College of Social and Behavioral Science undertake assessment and close the loop with program revision or other appropriate response and students report high levels of satisfaction with curriculum and instruction. Courses are offered in a variety of formats and schedules to accommodate student life choices.
- Efficiency of the college's instructional units in degree production has increased. The number of faculty members and total student credit hour production have both increased but degree production has increased faster consistent with the separately observed improvement in 3-year graduation rates (Figure 2.15).
- Faculty members across departments have increased their scholarly productivity, external research grants, and outreach to the community.
- Half of the faculty members in the college have a teaching and/or research program that is international in the sense that it explores the ways in which cultural, social, political, and economic borders do or do not matter in human interaction.
- The college has made progress in increasing gender and ethnic diversity of its faculty and is committed to continuing to do so.

Challenges

- Students in several departments and programs seek more explicit career preparation and internship opportunities. Instructional units are responding with plans to develop more supervised internship opportunities. The Hinckley Institute of Politics is expanding its internship program, including international internships. Student internships are a priority for development

Figure 2.15: Increasing Efficiency of College of Social and Behavioral Science Degree Production



in the plan for the Institute of Public and International Affairs.

- Faculty members and graduate students need more support as they increase scholarly productivity and externally supported research, especially as they respond to the growing demands for interdisciplinary collaboration. The plan for the Institute of Public and International Affairs includes additional resources for seeking and managing external grants, new hires of senior faculty researchers who are experienced in obtaining external research grant support and in interdisciplinary collaboration, and additional development funds to support faculty and student travel.

- Graduate stipends and faculty salaries are low relative to disciplinary national peers. The plan for the Institute of Public and International Affairs includes increased graduate student support through development efforts and through facilitation of increased external research grants. Progress in closing the faculty compensation gap will be made through continued (with central administration permission) hardening of SCH-based "productivity money" into faculty salaries -- while maintaining SCH production.

- In a globalizing world, faculty and students in all academic disciplines must respond to the world as a relevant concept of community. This will require expansion of financial support and opportunity for international experiences for both faculty members and students. The College of Social and Behavioral Science and Institute of Public and International Affairs plans call for doing so through development funding. Such funding will support cultivating international research and teaching collaborations through increased international travel by college faculty and students and through bringing international collaborators to campus.

College of Social Work

Central Aims and Purposes

Established in 1937, the College of Social Work contributes to shaping social institutions policies, services, and interventions to prevent and alleviate human suffering; enhance individual, family, community, and global well-being; and promote social and economic justice. This mission is achieved through:

- Preparing students for social work practice
- Contributing to the development of social work knowledge through research and practice intervention
- Actively serving the community.

The college achieves its purpose of preparing students for social work practice through two academic programs, the Bachelor and Master of Social Work programs, and through its continuing education offerings. These will be described in more detail later in this document and in accompanying exhibits. The College of Social Work contributes to the development of social work knowledge and research through an extensive array of research activities undertaken by faculty individually and by the college through its Social Research Institute. More details about this effort are included below.

Finally, the college achieves its service mission to the community through a combination of methods including preparation of graduates to assume roles as practitioners, researchers, and educators on a state, regional, and national basis. It offers training of community service providers through its continuing education program and undertakes evaluation of organization practices and policies through its research institute. The college also provides direct services to the elderly community on the westside of Salt Lake through its Neighbors Helping Neighbors and the University Neighborhood Partners Program.

Description

The college offers the Ph.D., Master of Social Work (M.S.W.), and Bachelor of Social Work (B.S.W.) degrees and maintains an active Professional and Community Education (PACE) unit. It also operates the Social Research Institute. Each program within the college has its own mission and objectives. Details on the missions, degree objectives and learning outcomes, and curriculum design of all academic programs can be found on the college Website: *http://www.socwk.utah.edu*. In addition, information on the research programs in the college may be found at the same location.

In 2002, both B.S.W. and M.S.W. programs were reviewed for accreditation by the Council on Social Work Education (CSWE). This review resulted in both programs receiving accreditation with no interim reports required. These documents are included as exhibits within the College of Social Work self-study. The curriculum designs, curriculum description, and syllabi are located in Volume II for each program.

In addition, an internal University review of the entire college occurred in 2003. That review resulted in many commendations as well as recommendations that either have been or are in the process of being addressed. This document also is included as an exhibit and contains a complete description of the Ph.D. program, its curriculum design, and related information.

Approximately 40 full-time faculty serve the college with about one-half composed of tenure-track positions and one-half representing auxiliary (nontenure-track) individuals. The latter include both researchers and lecturers and others holding administrative positions. In addition, the college employs about 66 part- and full-time support staff in a variety of positions.

The student body includes about 35 Ph.D., 300 master's, and approximately 90 undergraduate students. In addition, the PACE unit serves another 40-50 students involved in its year-long substance abuse training program. PACE also teaches four sections per semester of B.S.W. prerequisites and offers workshops and conferences that attract attendees from across the nation.

The Social Research Institute is involved in 32 active projects (grants and contracts), bringing about $4,200,000 into the college annually. It also conducts research and training addressing needs of community agencies and organizations throughout Utah. In addition, the college provides services in the community. Included are the Neighbors Helping Neighbors Program focused on the elderly population on the westside of Salt Lake, the University Neighborhood Partners Program, and the Belle Spafford community service initiatives. These are in addition to the individual service activities of faculty members.

Significant Changes

A new dean was appointed in 2000 and the School of Social Work became a college in 2002. The Technology Enhanced Doctorate (TED) Program was started in 2000 and the B.S.W. program in 2001. In addition, the master's program added an advanced standing program in 2003 to ensure that students already holding a B.S.W. degree would not repeat content in the first year of the M.S.W. program. Curricular revisions took place in both the M.S.W. and doctorate programs in the period 2000-2002. Descriptions of current curricular offerings can be found in the University *General Catalog* at *http://www.acs.utah.edu/gencatalog/index*.html and course syllabi appear in the college's self-study documents.

The college pursues an ambitious international social work initiative that engages staff, students, and faculty in educational and exchange activities with universities around the world. Recently, faculty and students have traveled to Botswana, China, Australia, Mexico, Bulgaria, Hungary, Scotland, the Czech Republic, Lithuania, Poland, Romania, Ukraine, and Yugoslavia.

In addition, the college engages in a systematic strategic planning process that involves all faculty and staff. This process results in a series of major goals and action steps designed to strengthen and improve various aspects of the college. From this process, the college also develops its SMART goals used by the college dean and Senior Vice President for Academic Affairs in allocating resources and annual planning. A copy of the strategic plan is included in the College of Social Work self-study.

Analysis and Appraisal

Every component of the College of Social Work engages in ongoing assessment activities consistent with University and CSWE policies. These activities include formative and summative measures designed to help determine achievement of the mission, goals, and objectives of the unit. A description of most of these appears in the accreditation self-study documents. In addition, the evaluation of the TED program is included as an exhibit in the college's self-study. The college employs 15 assessment measures to help determine achievement of program outcomes. These include:

- Field Evaluation
- Course Assignments
- Examinations
- Social Work Values Inventory
- Alumni Survey
- Employer Evaluation
- State Licensing Examination Results
- Exit Surveys
- Surveys and Focus Groups of Field Instructors
- Focus Groups of Community Advisory Board Members
- Comparison of Admission and Graduation Data: Day, Evening, and Off-Campus Programs
- Focus Groups and Surveys of Off-Campus Students
- Student Course Evaluations
- Field Exit Surveys
- Comparison of Students in the TED Program With Students in the Regular Ph.D. Program.

Each of the above measures is described in the College of Social Work self-study prepared for this evaluation. Data from these various assessment methods combined with the CSWE self-study, the internal review by the University, and this self-study highlighted several strengths and some areas needing attention. Much of

Closing the Loop: Avoiding Redundancy in Courses

In preparing for its most recent specialized accreditation, the M.S.W. program recognized that a problem existed for students coming from accredited B.S.W. programs who already possessed knowledge and skills being taught in the first year of the graduate program. To prevent this redundancy, the M.S.W. program created an advanced standing program that waived certain specified courses and replaced others with electives. This action strenghened the graduate program, produced added revenue to the college, brought the program into compliance with accreditation standards, and created greater consistency with other M.S.W. programs.

these assessment data have been used to improve the quality of instruction, curricular offerings, and program policies and procedures. Specific findings have been shared with the appropriate committees responsible for each academic program. The material below summarizes the major findings from these multiple sources.

The college has many strengths that have been cited by the specialized accrediting body, internal review committee, and other stakeholders. Conclusions in italics and quotation marks indicate the stated opinions of outside reviewers. These include:

- "*A new dean providing significant leadership with increased sense of collegiality and academic excellence among faculty, auxiliary faculty and students.*"
- "*A college that has achieved substantial national ranking.*"
- "*A college that demonstrates strong commitment to participation in community/university partnerships.*"
- "*A strong record of collaborative research that contributes to the public good and influences public policy.*"
- "*An impressive continuing education program including the Alcohol and Drug Abuse Treatment Training Program and the Summer Institute.*"
- "*A college that has made significant strides in internationalizing its curriculum and preparing graduates for international service.*"
- "*An ongoing attention to diversity in faculty hiring.*"
- A successful TED program.
- "A successful B.S.W. program with a strong and positive leader influential in recruiting students into the program."
- "*A revised M.S.W. curriculum enhances clinical and administrative content in all four domains.*"
- "*A college positioned to be in the forefront of social work education in the area of outcome assessment of program objectives.*"
- "*A faculty composed of active researchers who have achieved national prominence and recognition with their grants.*"
- B.S.W. and M.S.W. programs that have achieved accreditation by CSWE with no recommendations or interim reports required.
- A faculty engaged in frequent collaboration on books, research, and other forms of scholarship.
- B.S.W. practicum students, almost all of whom receive ratings of one or two from agency supervisors indicating that the student has met or exceeded all field objectives.
- B.S.W. students scores on the pre- and post-Social Work Values Inventory that are consistent with national norms for undergraduate social work education.
- B.S.W. practicum students who rate highly the quality of their internship experience with averages ranging from 89-100%.
- B.S.W. program policies on admission revised to reflect assessment findings.
- A highly competitive B.S.W. program with an acceptance rate of below 50% of those who apply.
- Very high employment figures for both B.S.W. and M.S.W. graduates, with the vast majority of students locating social work positions within weeks of graduation.
- B.S.W. graduates with a high acceptance rate into social work graduate programs both in Utah and other states. Thirty-seven percent

of B.S.W. graduates have gone on to graduate school in social work.

- M.S.W. program assessment results used to undertake a wholesale review of all aspects of its operation. The results of this assessment led to major revisions in the curriculum to better meet student needs and ensure that offerings built on faculty strengths and expertise. Details of the identified shortcomings and how the program responded to each are contained in the self-study prepared for CSWE.
- Graduates with a strong sense of social work values and ethics.
- Students who are perceived to have a good sense of the relevance of diversity for social work practice theory and method.
- License examination pass rates for baccalaureate graduates taking the bachelor's examination for the first time above the national rate for the years 2001-2004, the most recent data available.
- License examination pass rates for M.S.W. graduates taking the basic graduate examination for the first time at or above the national average for 10 of the last 15 years including 2004.
- License examination pass rates for our M.S.W. graduates taking the clinical examination for the first time at or above the national average for the years 2001, 2002, 2003, and 2004.
- In response to past assessments, advanced standing offered by the M.S.W. program to qualified B.S.W. students to eliminate the potential for redundancy in course content.

Any thorough set of reviews is likely to identify specific areas in which improvements can be made. The College of Social Work's areas for growth are enumerated below.

Closing the Loop: Assessing and Responding to Community Needs

The demand in Utah for social workers with undergraduate degrees and a national shortage of doctoral-prepared faculty in schools of social work were two concerns identified by the College of Social Work as it assessed the state and national marketplace. To address the first community need, a Bachelor of Social Work program was added in 2001 in cooperation with one of the largest employers of undergraduate degreed social work practitioners, the state Division of Children and Family Services. In developing this program, which now admits about 50 students per year, the College of Social Work met with each of the existing social work programs in the state to identify potential barriers and avoid areas of competition. Developing a doctoral program that was responsive to the national need for more Ph.D. social work educators was more challenging. Most potential students would be site-bound with limited opportunities to attend campus-based classes. As a result, the College of Social Work began the Technology Enhanced Doctorate (TED) Program that involved a combination of online classes and summer courses that coincided nicely with the schedules of prospective students. This model has been evaluated as successful and a new cohort of students has been admitted.

- The college has been very successful in obtaining grants and pursuing research projects, but a disproportionate share of this has been conducted by auxiliary as opposed to tenure-track faculty. Thus, the college sees the need for increased involvement of tenure-track faculty in research and federal grants, particularly in collaboration with the Social Research Institute.

- The college must reexamine its mix of training and research grants to determine if the benefits of each are being maximized.
- Tenure-track faculty have not been as widely involved in the B.S.W. program or in advising in the Ph.D. program. The college seeks an increased presence of tenure-track faculty in the B.S.W. program and in doctoral advising.
- Both the undergraduate and graduate programs will benefit from a strengthening of content with respect to integration of multicultural issues.
- The M.S.W. program should consider developing a means to allow M.S.W. students to test out of some foundation courses.
- The research component of the Ph.D. program needs strengthening. This should involve replacement of the two practice research courses in the doctoral curriculum with a participatory action qualitative research course and a program evaluation course.
- The college must undertake a proactive effort to promote and publicize its accomplishments in order to increase its visibility on campus.
- Continued efforts to recruit a diverse faculty, student body, and staff are needed.
- Additional office, classroom, and activity space for the college are needed.
- The college must help ensure faculty members maintain currency with educational technologies.

An action plan was designed to respond to areas for growth and improvement and is detailed in the college's self-study.

The College of Social Work believes the assessment data sources used in the past have helped evaluate the quality of its graduates and their education preparation. These data have resulted in creation of a B.S.W. program, revision of the M.S.W. and Ph.D. curricula, and a decision to pursue a second TED cohort. It has also impacted the hiring process as the college seeks to more closely match student interests with faculty areas of competence. At the same time, the college also recognizes that continued improvement in assessment approaches is necessary. As the college undertakes its assessment plan for its revised graduate curricula, it does so to help determine whether recent curricular changes contribute to improvements in students' achievement of program objectives.

A college goal is to ensure that each program objective can be assessed through a combination of methods. This is believed to be a sound approach since no single assessment tool will suffice. These combined efforts produce data from most stakeholders in the educational process—students, field instructors, employers, advisory board members, and faculty—while allowing comparisons across different programs and concentrations.

Summary

Commendations

- The College of Social Work has several areas for which commendations are due as it enters its 70th year of operation. It has achieved reaffirmation and reapproval of all of its academic programs while maintaining unique activities such as the TED and the PACE programs.
- It has a very successful Social Research Institute, which brings in millions of dollars in funding from state and federal sources, money that helps provide support for students and faculty.

- Success can also be measured by the college's investment in service to the community, which includes the Neighbors Helping Neighbors Program, our involvement in the University Neighborhood Partners Program, and the service provided directly by faculty and staff to area social service agencies and organizations.
- The college has also responded to feedback arising from its own multifaceted assessment efforts to make changes in curricula, policies, and procedures. It has succeeded in raising funds to support a new building, student scholarships, and other activities. It has enjoyed healthy enrollment in all of its programs and in its research income as shown in Figure 2.16. Figure 2.17 summarizes grants and contract income by year from 2002-2006.

Challenges

At the same time, the college faces several challenges. These include a relatively high number of auxiliary (nontenure-track) faculty in relation to college size, maintaining its international efforts, and increasing the ratio of research to training grants. Another challenge is to promote and publicize the college's accomplishments to increase visibility both on and off campus. The college's planning processes address each of these challenges.

Ethnic Studies Program

Central Aims and Purposes

The Ethnic Studies Program was born at the University of Utah in the late 1960s and early 1970s, largely as a result of the social and political climate of civil rights. Its primary aim is to educate students in the history, literature, and social issues of U.S. domestic ethnic minorities. It accomplishes this goal through coursework—both general education and advanced—and event programming. The program serves two main student populations, ethnic studies minors and students fulfilling general education requirements. The program also offers advising for students to ensure that students' educational and career decisions are made carefully and responsibly.

Description

The Ethnic Studies Program is comprised of four units: African American Studies, American Indian Studies, Asian Pacific American Studies, and Chicana/o Studies. Each unit has its own

Figure 2.16: College of Social Work Enrollment Growth by Program

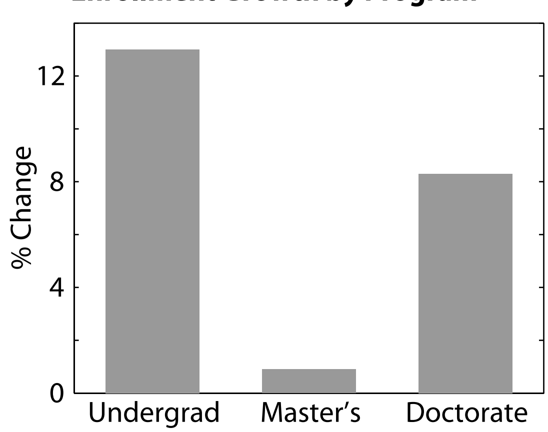
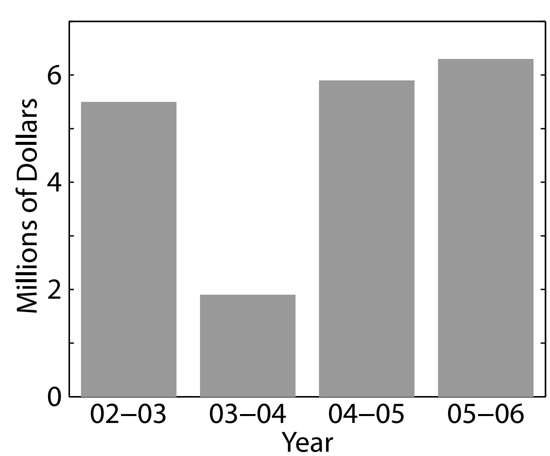


Figure 2.17: College of Socal Work Grants and Contract Income



director. A coordinator, who also serves as a unit director, oversees the program as a whole. The program offers five undergraduate minors, one in each of the four above units and a general minor in ethnic studies. A complete description of the minors, requirements, and course offerings is included in the *General Catalog*, pp. 227-230. Approximately 37 students are pursuing minors, and another 1,000 students enroll annually in courses that fulfill the University's general education diversity requirement.

As a program, ethnic studies does not grant tenure but all of its 19 tenured/tenure-track faculty hold joint appointments with the program and their home department. For 17 of that faculty, the appointments are 50% split such that each faculty member provides half of his or her time and work for the program. Two faculty members have 25% of their line in the program and 75% in their home department. Of the 19, one faculty member holds a full-time administrative appointment and a second has been granted teaching release for the administrative responsibilities of coordinating the program. All 19 of the tenured/tenure-track faculty have doctoral degrees. The 19 faculty include 3 professors, 8 associate professors, and 8 assistant professors. A full-time adjunct lecturer, who holds a master's degree, serves as director of Asian Pacific American studies. All of the faculty teach in the areas of their training and responsibility. The program also relies upon affiliate faculty across campus, many of whom teach cross-listed courses. Two of these affiliate faculty, not formally jointly appointed, have regular teaching responsibilities to the program as part of their contract. The program has a full-time administrative assistant, a half-time office assistant, and a half-time work-study student clerical assistant. The program has hard money funding for four graduate teaching assistants, one assigned to each unit.

The program provides offices in Carlson Hall for its staff and the four unit directors, but its core faculty are housed in their home departments. Its space also includes a small lounge and four cubicles, currently used by teaching assistants. Recently, the College of Law received funding to occupy all of Carlson Hall. This means the program may soon have to relocate.

Significant Changes

Since 1995, the Ethnic Studies Program has experienced significant changes in both faculty-related issues and University curricular issues. One faculty member has retired and 10 have been replaced. Four new faculty lines have been created and filled. One retirement line remains vacant; another faculty line, previously shared with the Department of English, is currently vacant, but plans are forming for a search to fill that position.

The program was also directly affected by changes in the University curriculum, specifically those related to the institution of the general education diversity requirement (full details on the requirement are available in the *General Catalog*, pp. 31, 82). Initially, due to limited available campuswide diversity course offerings, the program carried the major, almost primary, responsibility of offering general education diversity courses that fulfilled the new requirement. High student demand directly impacted the program's FTE. Currently, however, numerous departments and programs offer courses, significantly reducing the number of students who take ethnic studies courses to fulfill their diversity requirement.

Analysis and Appraisal

The 1995 Undergraduate Council Review of the Ethnic Studies Program identified four needs and goals: the development of Asian Pacific American studies, an increase in faculty recruitment and retention, the development of an ethnic studies major and two additional minors, in ethnic studies and Asian Pacific American studies as well as overall development of the curriculum, and the development of an ethnic studies resource and research center that would serve as an area repository for research and scholarship on ethnic minorities. The current status and future plans on each of these goals/needs are outlined below.

• *Development of Asian Pacific American Studies (APAS)*

In 1995, APAS, which had one tenure-track line, was in its formative stages. It offered two courses: an introductory survey course, offered each quarter and serving a total of approximately 100 students per year, and a mental health course, offered occasionally. During the past 10 years, the area has expanded significantly, putting in place a minor, new faculty lines, and new courses.

Currently, APAS has two introductory courses, Asian American Experiences and Pacific Islander Experiences. Offered at least four times a year, Asian American Experiences serves 200-250 students; Pacific Islander Experiences, a new course offered at least twice a year, serves approximately 120 students a year. In spring 2006, an additional section of Pacific Islander Experiences will be offered at one of the University's off-site locations. In addition, the APAS faculty have developed 10 additional content courses.

The APAS unit has increased its faculty lines to two tenure-track faculty and a full-time adjunct lecturer. Another APAS line, funded through the Office of the Vice President for Diversity, is currently open. APAS courses representing major areas of the academy are in place and regularly scheduled. Student interest in APAS has also increased. Still, for APAS to remain viable and central, both to ethnic studies and the University, more growth, particularly in senior faculty lines, is necessary. The current director of APAS, who does not hold a Ph.D. but was central to the creation and implementation of the unit, is not on a tenured/tenure-track line.

• *Faculty Recruitment and Retention*

The 1995 Undergraduate Council review identified faculty recruitment and retention as significant issues/needs facing the program, and also noted the difficulty the University faced in recruiting and retaining ethnic minority faculty. Two pressing complications are (1) the limited national pool of ethnic minority candidates, which makes top candidates highly desirable nationally; and (2) the racial/ethnic homogeneity of the state and University, which promulgate common stereotypes about Utah. Table 2.24 briefly outlines 1995 and 2005 faculty across all four units.

Table 2.24: Ethnic Studies Faculty Status: 1995 and 2005*

Program Area	1995 Faculty Picture	2005 Faculty Picture
African American Studies	3 TTT faculty, 2 of these with significant administrative duties	7 TTT faculty, 1 of these with significant administrative duties
American Indian Studies	3 TTT faculty	4 TTT faculty, 2 of these with research projects granting course release
Asian Pacific American Studies	1 half-time adjunct instructor, serving as director, 1 TTT line	2 TTT faculty, 1 open TTT line, 1 full-time adjunct instructor, serving as director
Chicana/o Studies	5 TTT faculty	6 TTT faculty, 1 of these with significant administrative duties, 1 open line

*TTT=Tenured or tenure-track

As Table 2.24 illustrates, faculty lines in the program have increased, in each of the four areas. Faculty searches in the past several years, done in conjunction with a home department, have been quite successful. In virtually every search the program and home departments have hired our first choice. In part, this suggests that the program hires the top faculty in the respective disciplines.

- Faculty members in the program are highly productive, nationally recognized scholars. Aside from regular publication, faculty have garnered prestigious awards. For example, in the past 10 years:
- three faculty have received Ford Foundation Postdoctoral Fellowships
- one received a Fulbright Fellowship
- another received a postdoctoral fellowship from the University of Illinois, Urbana-Champaign
- two faculty received a University of Utah Diversity Award
- two faculty received Utah Humanities Council Governor's Awards for their work on diversity
- one faculty received a University of Utah Presidential Teaching Scholar Award
- another faculty member has received three grants totaling just over $3,300,000.

Closing the Loop: Promoting Program Visibility

An ongoing challenge for the Ethnic Studies Program has been its lack of visibility both on campus and in the larger arena. To help address this area, faculty have organized panels, speakers, symposia, and conferences that promote the visibility of the program and enhance the community and University climate on diversity. These include, for instance, the annual "Awareness" activities—comprised of speakers, panels, films, and cultural events—organized by each of the four units in the program. In addition, the various units have co-sponsored major national and international conferences, including the annual national meeting of the Association of Asian American Studies; "Looking Back with Pleasure II," which, as part of the American Literature Associations's African American Literature and Culture Society, celebrated 100 years of African American literature; a University/community symposium on the current status and future of Chicano/a Studies; and a University/community Spanish language film series.

Despite these awards, retention continues to be a significant issue. The program takes a proactive stance on recruitment and retention. Formal and informal faculty mentoring and development is one approach. Formally, the program has instituted a peer teaching review process that provides junior faculty with detailed input regarding teaching. Informally, junior faculty develop mentoring relationships with senior faculty who provide input regarding teaching, research, and service. Recruitment and retention are also addressed via the emphasis on community and University programming around race/ethnicity.

Efforts at recruitment and retention have been successful, but continued work is necessary. In particular APAS and American Indian studies are understaffed. One APAS faculty line is vacant and two of the four faculty in American Indian Studies have only 25% of their lines in the program. The national success and recognition of the faculty mean that they are often recruited by other institutions. The demographics of the institution and the state will continue to be factors that deter candidates from applying or accepting positions.

• *Curriculum Development: Majors and Minors*

The 1995 review identified various curricular needs: development of a core introductory course in ethnic studies, development of two minors—ethnic studies and APAS, development of an ethnic studies major, and overall structural balance in the curriculum with courses representing humanities, social sciences, and education.

The program now offers at least one section per semester of Ethnic Studies 2500, “Introduction to Ethnic Studies,” as well as 17 courses that broadly address ethnic studies issues (for a complete list of courses, see the *General Catalog*, pp. 237-240). Two new minors—in ethnic studies and APAS—were developed and approved by the University system in the 2000/2001 academic year (requirements available in the *General Catalog*, p. 237). This development brings the total number of minors offered by the program to five. The expansion of the faculty combined with the program’s attention to curriculum has led to the development of several new courses that span various disciplines across the University. These include, for instance, “Asian American Personalities and Mental Health,” “Asian American Popular Culture,” “Chicana Feminist Theories,” and “Latinos in the U.S.” Conversations regarding a major continue. However, there is no major currently offered. Instead, students interested in a major work with one of the four unit directors to design a B.A. or B.S. in University Studies (B.U.S.) that has an emphasis on ethnic studies (details on the B.U.S. are available in the *General Catalog*, p. 76).

Student interest in ethnic studies is limited. Overwhelmingly, the unit provides general education service courses to the University. The majority of students who enroll in ethnic studies courses do so to complete their diversity requirement. Efforts are underway to increase student interest and enrollment. The unit participates in campus programs such as “Major Expo” and “Plaza Fest” that are designed to introduce students to the program and the course offerings. A brief student survey addressing knowledge of and need for ethnic studies classes was developed and administered. Still, the relatively low number of active minors is cause for concern. The program needs to devote attention to recruitment of students.

Enrollment in ethnic studies classes, particularly in upper-division classes, has decreased. That drop—its causes and possible remedies—needs to be addressed. Continued assessment of the curriculum should occur. That assessment should identify ways to increase the visibility of the program to undergraduates. Possible steps include publicity, campus events, and interaction with departments and University advisors who may be unaware of the classes, minors offered, and pedagogical benefits. Second, with increased interest and enrollment, steps towards the development of a major, graduate courses, or a certificate program should occur. Third, with the impending expansion of the physical space allocated to the law school, the program will need to identify a new location. Ideally, that space will not only replicate current offices but include a larger conference or reading room that can be used for program events, such as invited speakers or panels/workshops. Finally recruitment and the development of new lines in APAS and American Indian Studies are crucial. Of the four areas, APAS has the fewest tenure/track lines; with only two tenured/tenure-track faculty, it is limited in its growth and its faculty are often stretched too thin. American Indian studies has four tenure-track lines, but two of these lines have only a 25% appointment in the program.

• *Ethnic Studies Resource and Research Center*

The 1995 review identified the development of a center and/or the conversion of the program into a center that would foster research and creative activity around ethnic minorities, particularly in the West. That idea remains, but conversations among the faculty in the interim indicated that the above three goals/needs were higher priorities.

The need for a site or unit that houses visiting faculty, promotes collaborative and funded projects, and sponsors conferences and workshops on issues of race/ethnicity exists. Such a unit would serve the program, University, and community in various ways—enhance visibility, improve campus climate, promote pedagogy and research, and connect campus and community. As the program continues to attract top faculty and develop the curriculum, conversations around the development of a center can follow.

• *Assessment*

To assess effectiveness at accomplishing its educational mission, the program offers a capstone course, Ethnic Studies 5010, Advanced Explorations in Ethnic Studies. This course gauges the learning of those students who pursue minors. A second assessment tool of student learning is course evaluations, which now include specific questions on the success of mission of the diversity requirement. These data, gathered on all program courses that fulfill the diversity requirement, overview students' assessment of their learning of diversity in program courses.

Teaching quality is assessed via a peer teaching review process. All untenured faculty are required to undergo peer teaching review at least once in the probationary period. All faculty can request peer teaching review at any point. The process entails 1) submission of teaching portfolio, which includes course syllabi, course evaluations, and a statement of teaching philosophy; 2) in-class observation; and 3) an oral interview. The assigned reviewer, a Program faculty member, then writes a formal report that details teaching success and areas for attention and improvement.

Summary

Commendations

The Ethnic Studies Program has grown considerably in the last several years, and our faculty, curriculum, and students reflect the vibrancy of the discipline of ethnic studies across the nation. The strength and dynamism of the program are evident in the successes of the faculty and the expansion of the curriculum. In particular, the addition of two minors illustrates the program's ability to respond to national trends, which have directed recent attention to APAS and to the study of race across ethnic minority communities.

Challenges and Plans of Action

Four primary recommendations/actions emerge from this self-study. First, additional assessment measures will be developed. The program will consult the Office of Budget and Institutional Analysis to develop and administer alumni surveys of ethnic studies minors and exit interviews for graduating seniors. These data should provide information about curriculum strengths and weaknesses and perhaps provide insight into decreases in enrollment. Second, enrollment across courses needs to increase. Two immediate steps to increase enrollment will be taken: a) ethnic studies faculty will participate in the summer new student orientation; and b) descriptions of the course offerings, highlighting both courses that fulfill the diversity requirement and program minors, will be developed and sent to advisors. Additionally, the program will continue to do publicity and campus events. A new and more easily accessible Website is almost complete as is a new and updated brochure. Third, with increased interest and enrollment, steps towards the development of a major, graduate courses, or a certificate program should occur. Action here will occur as enrollment, and more importantly, interest increases. Finally, recruitment and the development of new lines in APAS and American Indian Studies are crucial. The vacant APAS line should be filled in the next academic year.

Gender Studies Program

Central Aims and Purposes

Gender Studies is an interdisciplinary undergraduate program that uses the tools of academic analysis to explore the significance of gender in all aspects of human life. More specifically, it assumes that gender, in its complex interactions with race, class, sexual orientation, nationality, religion, and other factors, is a crucial component in the organization of our personal lives and social institutions, and it focuses on how gender differences and gender inequality are created and perpetuated. The courses offered by the Gender Studies Program — diversity, service learning, cross-lists with other departments, and core courses — reevaluate the assumptions at work in traditional disciplines in the study of individuals, cultures, social institutions, policy, and other areas of scholarly inquiry. In addition to a focus on the history and achievements of women, gender studies incorporates scholarship that addresses men's lives, masculinity, and the lives of people who identify as gay, lesbian, bisexual, or transgendered.

The program also provides academic advising for students and, through internship placements, exposure to career opportunities.

Description

The Gender Studies Program offers both Bachelor of Science and Bachelor of Arts degrees. For a complete description of the gender studies major and minor requirements, along with course offerings, please see the *General Catalog* (pp. 264-267). There are approximately 130 gender studies majors and 40 minors; and approximately 200 students enroll in the program's diversity and cross-listed classes each year. Our degree is granted through the College of Social and Behavioral Science, and our program is jointly funded through this college and the College of Humanities, since as an interdisciplinary program we have faculty appointed in both colleges. In addition, we receive indispensable financial support from the Office of the Associate Vice President for Diversity. The program currently (spring 2005) employs five full-time faculty members, who are jointly appointed by the Gender Studies Program and a tenuring department (in our case, Departments of English, Psychology, Economics, Political Science, and History). In addition, the program director, associate director, and a pool of four to six adjunct instructors teach in gender studies. All of the faculty and four of the regular adjunct instructors have doctoral degrees. One adjunct instructor has a master's degree. The program yearly offers a teaching assistantship to an advanced graduate student who assists in a writing-intensive core course. All faculty members are teaching in areas of their training and expertise. The program has a full-time administrative assistant. Table 2.25 shows gender studies faculty achievement.

The program is housed in Building 44, where offices are provided for the director, associate director, administrative assistant, and four adjunct instructors. Faculty members have offices in their tenuring departments. Faculty and student meetings are held in the gender studies lounge, which has multimedia equipment. The program uses available classrooms on campus for teaching.

Table 2.25: Gender Studies Faculty Achievements

Books Published/ Forthcoming	5 single-author books (2000, 2004, 2005, 2006); 1 coedited (2004)
Book Awards	2004 Best Book Prize from the Labor Studies Section of the Latin American Studies Association
Articles/Book Chapters	63 articles/chapters by 7 faculty members combined
Teaching and Other University of Utah Awards	1991 Ramona W. Cannon Award for Teaching Excellence in the Humanities 1999 University Research Committee grant, University of Utah, 2000 Faculty Fellow Award, University of Utah (Fall Semester) 2001 Faculty Fellow, Tanner Humanities Center, University of Utah 2002 Faculty Fellow, University Research Committee grant, University of Utah, Spring 2002 Pi Sigma Alpha Award for Superior Teaching in the Department of Political Science, University of Utah 2002 Faculty Development grant, College of Humanities, University of Utah, Spring 2003 Social and Behavioral Sciences Superior Teaching Award, University of Utah 2004 Early Career Teaching Award, University of Utah
Career/Achievement Awards	1997 Lesbian Psychologies Unpublished Manuscript Award, Association for Women in Psychology 2000 National NOW Lifetime Achievement Award 2004 Boyd McCandless Award for Distinguished Contribution to Developmental Psychology, Division 7 of the American Psychological Association 2004 Recognition Award for Emerging Scholars, American Association of University Women 2004 Louise Kidder Early Career Award, Society for the Psychological Study of Social Issues 2004 Emerging Leader Award, APA Committee on Women in Psychology 2004 Outstanding Young Scientist Award, Personal Relationships Interest Group of the Society for Personality and Social Psychology 2004 Visiting Scholar, NEH Seminar on Globalizations, Cabrini College

Significant Changes

A few significant changes in the past decade are detailed below:

• *Renaming the Program From Women's Studies to Gender Studies*

By July 2001, the women's studies faculty at Utah had come to believe that a larger concern about gender had been the primary emphasis not only of much of our scholarship but also of our courses for the last decade. As a consequence, we came to regard the label "women's studies" as only partially descriptive of what we research and teach. We continue to regard the original objectives of women's studies to be crucially important, but it is our sense that they are only one aspect of a more expansive and inclusive emphasis upon gender as one of the primary organizing structures influencing human experience and social relations. In addition, similar changes were occurring at other institutions as faculty reconsidered their women's studies programs. Our main objective in changing our name, which took place in 2003, is to communicate more clearly the scholarly emphasis students can expect when they encounter a gender studies course at the University of Utah.

• *Incorporation of Service Learning in the Curriculum*

An important consideration in the design of our new curriculum was the incorporation of service learning in our core offerings. As an academic field, gender studies was shaped in large part by women's and men's commitment to forms of community activism, consciousness raising, and local politics. With increased institutionalization, however, many gender studies

Closing the Loop: Redesign of Gender Studies Curriculum

During recent years, the Gender Studies Executive Committee became aware that the program's core course sequence for seniors was no longer working as once designed. The Theory-Methods-Senior Seminar sequence was, by this time, conceptually outdated and ultimately inefficient as a way of moving our students through the major. (Our curriculum had not been thoroughly revised since the 1988-89 academic year.) This realization, together with our program's recent name change to Gender Studies, spurred us to rethink our core course offerings, a reconsideration that led us to arrive at a new configuration of courses throughout our curriculum. Our thinking was guided by: (1) our intellectual desire to offer pedagogically richer courses and (2) a practical need to serve our students more efficiently -- two goals that have proved complementary. We believe our new core curriculum, described in the General Catalog (pp. 265-267), provides our students with an intellectually sharper and more rigorous experience and at the same time providing greater flexibility for their movement through the major.

programs — including our own — drifted from their early ties to local communities and activist-oriented practices. As a reflection of our program's commitment to restore the connection between our faculty and students, and feminist community organizers and activists, we integrated service learning throughout our program. We recently (spring 2005) won a grant from the Bennion Center for a project to bring to campus minority girls of junior high and high school age who have had very little exposure and experience in a college environment. Working with the Women's Resource Center, Continuing Education, and several boys' and girls' clubs in the community, we provide them with cultural experiences, tutoring, and computer technology training.

• *Appointment of New Faculty*

Most recently (spring semester 2005), the program hired two new joint appointments to start in fall 2005 in two new lines established by the Office of the Associate Vice President for Diversity: a new joint appointment with the Department of History (focusing on masculinity studies and gender in the U.S. West); and a new joint appointment with the Department of English (focusing on film and disability studies.)

Analysis and Appraisal

An analysis of the Gender Studies Program over the past few years identified several major conclusions that are discussed below.

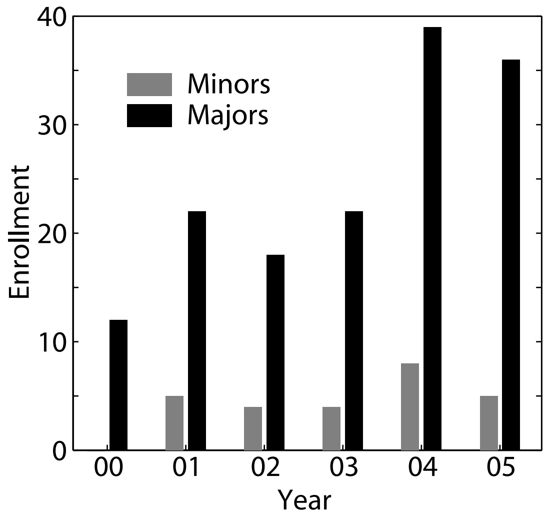
• *Program Growth*

A substantial amount of faculty time in the last 5 years has been devoted to analysis and reappraisal of our program along two major lines: the name (and overall conception of the program) and the gender studies curriculum (see above section on "Significant Changes.") The program has grown significantly in the past 2 years as measured by new majors and minors signing up. Table 2.26 shows enrollment in the Gender Studies Program for the years 2000-2005. Figure 2.18 shows growth of majors and

Table 2.26: Gender Studies Enrollment 2000 - 2005

	2000	2001	2002	2003	2004	2005
Minors	0	5	4	4	8	5
Full Majors	12	22	18	22	39	36

Figure 2.18: Gender Studies Majors and Minors Growth



minors within the Gender Studies Program for the years 2000-2005.

• *Diversity Growth*

Our higher enrollment figures have not yet resulted in significantly higher number of students graduated. However, our enrollment figures are starting to show another change in our program — male and minority students are starting to choose gender studies as a major. The increase in these aspects of our student body is also evident among new majors and minors.

• *Student Feedback*

Although our name change has been in place for only 2 years and our new curriculum for 1 year, University-administered course evaluations and our program's exit interview for seniors are already showing positive student feedback regarding our program objectives of greater rigor and flexibility, as well as the opportunity to work directly with professors in the areas of their research.

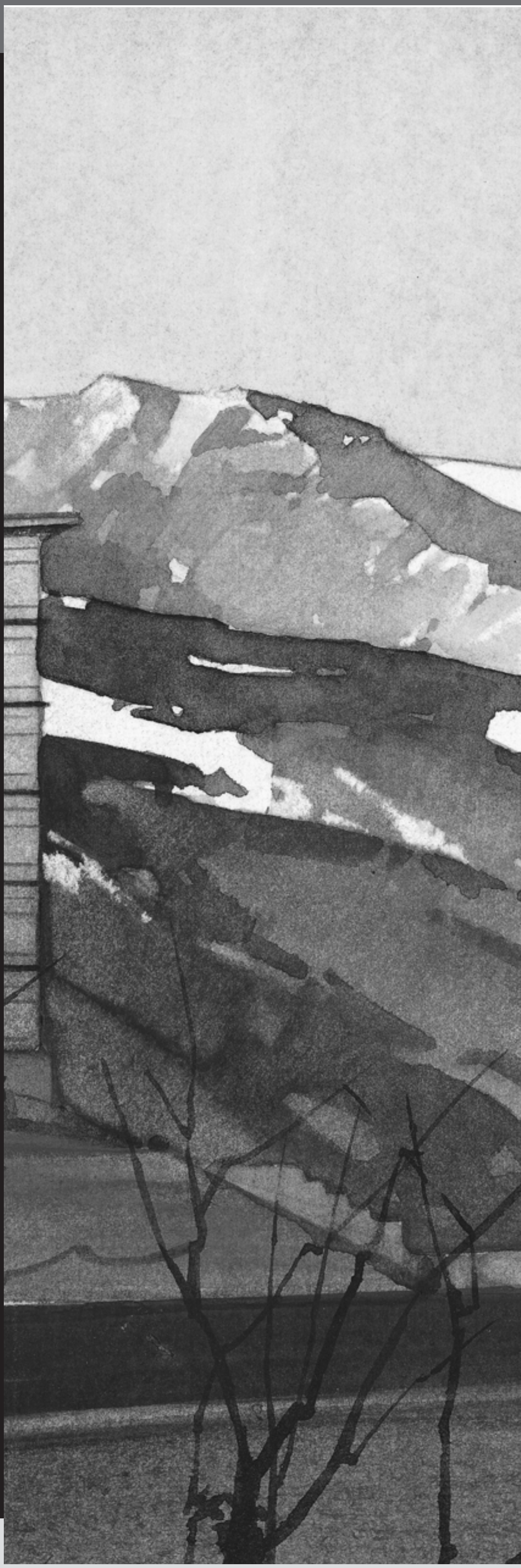
• *Need for Additional Assessment Mechanisms*

Our goal is to enhance our ability to assess the success of our program. We plan to develop more tools to measure how the program meets course and program objectives, including a system to track our graduates' performance after graduation (employment and graduate school acceptance).

Summary

Over the last 5 years in particular, we have greatly rethought, reassessed, and revamped the Gender Studies Program at the University of Utah. The name change of the program, along with a full redesign of its curriculum, has led to measurable growth in enrollments and numbers of majors. The Gender Studies Program is increasing in diversity in terms of male students and ethnic minorities and is considered not only the leading voice for the academic exploration of gender and sex issues, but also a partner with other entities -- especially the Women's Resource Center and the Lesbian, Gay, Bisexual, Transgendered Campus Center-- on issues of sexual discrimination. Our most important goals for improving our program are to work with institutional analysis to get a better profile of our student body; to develop to a greater extent the program's international emphasis and its new offerings in disability studies (both to be facilitated by our recent hires); and to continue our growing partnership with diverse groups on campus and in the greater community, especially through our service learning program.

STANDARD 3
STUDENTS



TOGETHER WE REACH.

STANDARD 3.A – PURPOSE AND ORGANIZATION[1]

3.A.1 The organization of student services is effective in providing adequate services consistent with the mission and goals of the institution.

The central vision of the Division of Student Affairs is to prepare students for active engagement in an increasingly diverse and global society, consistent with the mission of the University of Utah. This goal is accomplished through (1) providing cultural, intellectual, spiritual, physical, emotional, social, and occupational student development; (2) promoting diversity on campus through active recruitment of staff and students and expansion of relevant programs; (3) identifying, supporting, and promoting the effective use of best practices in student affairs departments, programs, and services; (4) developing outreach strategies with faculty, staff, and external communities that foster student development; (5) developing, promoting, and maintaining a coordinated assessment, evaluation, and research agenda emphasizing campuswide collaboration; (6) recruiting and maintaining the most qualified individuals to fill vacancies and support staff involvement in professional organizations and activities; (7) providing education that ensures all staff are properly trained to provide accurate and friendly services; and (8) providing and maintaining technological resources that enhance student services, assessment, and communication.

The Division of Student Affairs is comprised of 22 departments that provide student services and opportunities for active engagement

[1]All exhibits referenced in Standard 3 are located in the Division of Student Affairs self-study.

starting before a student enters the University to postgraduation (see organizational chart in Student Affairs self-study). Activities from each department are summarized yearly in an annual report, where a more detailed description of each office is available (see Student Affairs Exhibit A). These departments can be divided into the student functions they serve.

- **Enrollment Management** serves the specific function of facilitating students' entry into and continued attendance at the University.
- **Student Recruitment** (*http://www.utah.edu/newstudents/*) is responsible for promoting the University to potential undergraduate freshman and transfer students. Through a multifaceted recruitment and marketing effort, the office attempts to attract a qualified, diverse pool of in-state, out-of-state, and international applicants.
- **Admissions Office** (*http://www.sa.utah.edu/admiss/index.htm*) processes all graduate and undergraduate applications in a timely manner and determines the academic eligibility of all domestic and international undergraduate applicants. Utah residency status is also determined by the Admissions Office.
- **Orientation and Leadership Development** (*http://www.sa.utah.edu/orientation/*) helps students make smooth transitions to the University by offering a comprehensive overview of academic requirements and college life. The office also helps coordinate opportunities for development of leadership skills through involvement in campus organizations.
- **Financial Aid and Scholarships** (*http://www.sa.utah.edu/finance/*) administers financial aid funds, both need- and merit-based, to eligible students in an equitable fashion.
- **Registrar's Office** (*http://www.sa.utah.edu/regist/*) provides the essential registration, record keeping, and scheduling functions to support academic departments and students in meeting their academic goals.
- **Student Support Services** serves to eliminate impediments to student success, generate options, facilitate growth, and enable students to fully function in pursuit of their degrees and planning for the future.
- **Career Services** (*http://careers.utah.edu/*) assists students and alumni in preparing for careers through a comprehensive program of employment-related services and helps with their transition from school to the world of work.
- **Child Care Coordinating Office** (*http://www.childcare.utah.edu/*) coordinates information and programs that enhance the availability, affordability, and quality of child care services for University students, faculty, and staff.
- **Counseling Center** (*http://www.sa.utah.edu/counsel/*) supports the educational mission by providing services to students, staff, and faculty in the areas of counseling, personal and career development, training, outreach, and consultation. This unit also includes the Testing Center, the Alcohol and Drug Education Center, and Learning Enhancement Programs.
- **Center for Disability Services** (*http://disability.utah.edu/*) promotes an accessible and sensitive campus by providing comprehensive support services for students with disabilities, including determining appropriate accommodations for students with disabilities and educating the campus community to this population's needs.
- **Educational Opportunity Programs** (*http://disability.utah.edu/*), funded by the federal TRIO grants, includes the Upward Bound and Student Support Services projects. Their mission is to identify low income, first

generation college students, prepare them for postsecondary education, and provide support services to such students who enroll at the University.

- **International Center** (*http://www.sa.utah.edu/inter/*) provides opportunities for all students, faculty, and staff to incorporate an international, multicultural dimension into their academic and professional lives through study, service, work, and travel abroad, and fosters an interactive learning environment for international students and scholars through programming and services.
- **Student Health Service** (*http://www.student-health.utah.edu/index.html*) provides primary low-cost health and prevention services for students and dependent family members and serves as a clinical training site for several health sciences fields.
- **Women's Resource Center** (*http://www.sa.utah.edu/women/*) provides educational support services for women at the University through programs, advocacy, workshops, and group and individual counseling.

Additional offices, reporting through the Associate Vice President for Diversity, provide significant student support:

- **Center for Ethnic Student Affairs** (*http://www2.utah.edu/cesa/index.html*) ensures that ethnic minority and educationally disadvantaged students have an opportunity to enjoy the benefits of a successful University education through providing academic planning, counseling, and special classes, among other services.
- **Lesbian, Gay, Bisexual, Transgender (LGBT) Resource Center** (*http://www.sa.utah.edu/lgbt/*) provides a comprehensive range of education, information, and advocacy services, while working to create and maintain an open, safe, and supportive environment for LGBT students, staff, faculty, alumni, and the entire campus community.
- **Student Life** offices provide opportunities for active student engagement with University life though leadership and involvement activities, entertainment, recreation, community services, and residential life.
- **Dean of Students Office** serves as the initial contact for students and faculty with student concerns and student behavior issues, as well as the central crisis management office. In addition, the Dean of Students Office advises student government, the presenter's office, and fraternities/sororities, as well as oversees the Child Care Coordinating Office.
- **Lowell Bennion Community Service Center** (*http://www.sa.utah.edu/bennion/*) fosters lifelong service and civic participation by integrating service and experiential learning with the academic and social pursuits of students through community service projects, service learning classes, and opportunities for faculty to advance their community-based research.
- **Campus Recreation Services** (*http://www.utah.edu/campusrec/*) offers programs that enrich the academic experience and enhance the physical and mental well-being of students through the operation of recreation facilities; programming activities such as sports clubs, classes and intramural sports; and opportunities to participate in outdoor recreation pursuits.
- **University Union** (*http://www.union.utah.edu/*) contributes to the social, recreational, cultural, and educational development of the University community through programs and services operated in and around the Union, as well as providing student leadership experiences.
- **Housing and Residential Education** (*http://www.orl.utah.edu/*) provides opportunities for students to engage fully by providing housing facilities and learning opportunities through co-curricular academic, interest-

specific, and leadership development programming.

- **Dining Services** (*http://www.dineoncampus.com/utah/*), contracted by Chartwells, provides convenient, nutritious dining options for students, staff, and faculty at locations throughout the campus, as well as specialized catering.

Additional offices support the functioning of the division as a whole. These include:

- **Network Support** ensures that the staff has the technological tools and networks necessary for serving and communicating with students.
- **Office of Assessment, Evaluation and Research** (*http://www.sa.utah.edu/sd/AandR.htm*) develops, coordinates, and oversees this agenda for the division by consulting with departments and supervising technical aspects of assessment such as research design, instrument development, data collection, and analysis.
- **Conference and Guest Services** (*http://www.conferences.utah.edu/*) provides hotel accommodations for visitors on campus, and develops and produces quality conferences that meet the needs of the University community and professional organizations.

3.A.2 Student services and programs are staffed by qualified individuals whose academic preparation and/or experience are appropriate to their assignments. Assignments are clearly defined and published. The performance of personnel is regularly evaluated.

The Division of Student Affairs is comprised of 341 full-time staff within 22 departments (excluding the employees hired by contracted Dining Services). Of these, 190 work in a professional capacity and 151 function in support roles. Of the professional staff, 46% have graduate degrees, with 19 doctorates, 4 M.D.s, and 64 master's degrees. An additional 90 have completed bachelor's degrees. Of the support staff, 4 earned master's degrees and 56 earned bachelor's degrees. Eight staff members are currently in doctoral programs, with even a larger number in master's programs. All staff are hired using educational and experiential standards consistent with the job responsibilities. Twenty student affairs staff have adjunct or clinical appointments in 11 academic departments, and many teach in their area of training and expertise. The number of professional staff with less than 5 years experience in their position is currently equal to those with over 16 years experience (26%), giving a balance of new ideas and perspectives with experience and institutional history.

Three hundred ninety-two students also work in the Division of Student Affairs, gaining valuable leadership and work experience. One hundred twenty-five of these students work in Campus Recreation. The responsibilities of the division are also supported by 82 other students, ranging from hourly American Sign Language interpreters to summer instructors for the Upward Bound Program.

The Division of Student Affairs has been successful in attracting individuals who are leaders in their profession or in encouraging young professionals to become actively involved in their professional organizations. This stems from the belief that this experience leads to the development and implementation of best practices on campus and the advancement of the profession.

- Conference presentations: During the 2004-2005 academic year alone, student affairs staff professional presentations (many as invited speakers) included:

  30 at state conferences
  15 at regional conferences
  41 at national conferences
  4 at international conferences

- Publications: Division of Student Affairs staff have also been active as scholars:

  5 articles in refereed journals
  5 book chapters
  1 book (coauthor)

- Hosting national conferences: In the past 5 years, Salt Lake City and the University of Utah have hosted national conferences for:

  Association of International Educators
  National Association of Student Financial Aid Administrators
  Association for Student Judicial Affairs Don Gehring Institute
  National Association of Student Personnel Administrators Greek Summit
  Cooperative Education and Internship Association, American Association of Employment and Education
  National Association of College Admissions Counseling
  International Conference on the Advancement of Service-Learning Research
  Campus Compact Training Institute for Community Service Directors

- Professional leadership: Since 2000, several program directors have served in leadership positions in their professions:

  Two directors have served as president of their national organization
  Two directors have served as regional president

Student affairs, as a division as well as each department, participates in a systematic and ongoing self-evaluation process. Every 4 years, all staff complete a needs, climate, and satisfaction survey with regard to the division. This is followed by a series of focus groups to clarify the results of the survey. The results of the spring 2005 assessment are shown in Table 3.1.

From the table, it is clear the staff believe that their work is of benefit to students, that their division has an effective organizational structure, and that their division has good relationships with other University organizations and departments. However, staff are less positive about how the division communicates and recognizes good performance. The focus groups delved into these areas of lower ratings. Perceptions varied greatly depending on the office. However, for those departments with concerns with regard to recognition, the focus groups highlighted (1) individuals in the same office with the same job description receive the same pay regardless of performance and (2) feedback, when it came, was usually negative. Communication centered on overuse of e-mail and lack of knowledge of other student affairs offices. Results of the focus groups have been shared with the directors and staff, and the directors have been encouraged to develop methods to publicly and privately recognize good performance. Solutions to the communication issue are being proposed on several levels. For example, the Professional Development Committee is working on opportunities to increase interaction of staff from different offices, and Network Support has introduced Share Point, an interactive technology that will allow various student

Table 3.1: 2005 Student Affairs Staff Survey — Selected Results

ITEM	1	2	3	4	5
My work benefits students	92%	5%	1.4%	.5%	.5%
My department has an effective organizational structure	72.9%	12.4%	.9%	7.3%	6%
Student affairs has good relationships with other University organizations/departments	69.6%	18.6%	7.1%	2.2%	1.8%
There is timely and appropriate recognition in student affairs of outstanding performance	44.2%	29.5%	4.9%	12.5%	8.5%
There are effective communication channels among student affairs departments	46.4%	31.3%	4.9%	12.1%	4%

1= Strongly agree, 2=Somewhat agree, 3=No opinion, 4=Somewhat disagree, 5= Strongly disagree
N=236

affairs groups to share and update information continuously.

In addition, annual performance evaluations of staff are conducted. For example, each supervisor in the 10 departments under the Assistant Vice President for Student Development conducts in-depth performance evaluations on all staff each summer. The evaluations are based on current job responsibilities. This process also ensures that job descriptions remain up to date and consistent with the actual function of the position. The Assistant Vice President for Student Development simultaneously implements a 360-degree evaluation on each of the directors, giving each staff member an opportunity to provide feedback to the director.

3.A.3 Appropriate policies and procedures for student development programs and services are established. The objectives of each operating component are compatible and support the goals of student services.

The Division of Student Affairs adheres to the policies and procedures of the University of Utah. In the departments where specific additional policies and procedures are required, these have been reviewed by staff and, when appropriate, by legal counsel and are updated on a regular basis (see Student Affairs Exhibit B).

Departments work collaboratively within and among units. Objectives of each department are compatible and consistent and support the efforts of other offices on campus. Strategic planning for student affairs is accomplished in a joint effort between all of the directors and the student affairs leadership team. In turn, each department develops its strategic plans to support and extend the goals of the student affairs strategic plan. For the last 5 years, a strong effort has been made to increase collaboration, not only within student services but also between student services and academic entities.

3.A.4 Human, physical, and financial resources for student services and programs are allocated on the basis of identified needs and are adequate to support the services and programs offered.

As outlined in 3.A.2, the Division of Student Affairs is working with a well-qualified staff, and personnel resources are allocated to the services and programs that can demonstrate both the most need and the most success. Salary continues to be an issue. The Office of Human Resources has been systematically reviewing positions and making suggestions for fair and equitable salary adjustments. Student affairs administration has been able to offer some equity adjustments over the past 2 years and will continue this effort until equity is reached for all staff. A current assessment is in process in the enrollment management area to ascertain reasons for staff turnover to test the assumption that many staff leave for salary reasons.

Offices within the Division of Student Affairs are located at sites across campus, with 11 offices being located in the A. Ray Olpin Union, 5 in the Student Services Building, 1 in the Annex, and 1 in the Madsen Health Clinic. Campus Recreation is located in several sites to maximize student usage and accessibility. Likewise, Dining Services has several facilities on campus. Housing and Residential Education and Conference and Guest Services are located on the east side of campus. An increasing number of the student affairs buildings, including the Olpin Union and the Student Services Building, are wireless, and the residence halls are moving in this direction.

Facilities, though excellent for many student affairs offices, continue to be an issue for some departments. The residence halls, guest house, and many conference facilities were built or renovated for the 2002 Winter Olympic Games and will be discussed in 3.D.13. The Olpin Union has developed a 5-year plan to remodel and renovate the building, with phase one completed last year. The director is working with administrative services to ensure the money required to make the Union more user-friendly is located. Campus Recreation, with strong support from both student government and the student body, is seeking to build a new campus recreation center to provide a new recreational and social hub for campus (discussed later in this standard). An issue yet to be resolved continues to be inadequate and inconveniently located space for Student Health Services and Educational Opportunity Programs. The Center for Disability Services (CDS), located in the Union, is likewise crowded, serving a student population that has increased 11% in the last 3 years. Alternative space for CDS to better meet the needs of students is being proposed and entails plans for renovating the Union.

STANDARD 3.B – GENERAL RESPONSIBILITIES

3.B.1 The institution systematically identifies the characteristics of its student population and students' learning and special needs. The institution makes provision for meeting those identified needs, emphasizing students' achievement of their educational goals.

Description

The University is committed to the education of all students. To this end, assessment of student characteristics and needs is conducted on an annual basis. The Office of Budget and Institutional Analysis conducts annual surveys of entering undergraduate and entering transfer students and a needs assessment of undergraduates. To ascertain whether these needs were met, at least by those who remain through graduation, a survey is conducted with graduating seniors. The common data set, available each year through the Office of Budget and Institutional Analysis, helps service providers understand the demographics of the students they are serving. The common data set initiative is a collaborative effort among data providers in the higher education community and publishers and includes a set of strictly-defined data items in an effort to collect comparable data from colleges and universities. Student affairs divisional and departmental assessment will be described in detail under 3.B.6.

The Center for Disability Services (CDS) will work closely with students who enter with an identified disability, or who are diagnosed with a disability during the course of their education to provide appropriate accommodations and services. The number of students CDS serves has increased 11% in the past 3 years and continues to rise. Students' evaluation of CDS' impact on their educational experience is positive. For example, 61% of respondents to a recent survey stated CDS better prepared them to plan their academics appropriately. Seventy-six percent of students responding to the survey stated that the experiences with CDS better prepared them to interact with University faculty and 69% said they were better able to discuss their disability with others. However, the 6-year graduation rate for students with a disability at the University of Utah since 1999 is 25%, significantly lower than the University as a whole, which, for the 1998 cohort, was 50%. Nationally, the 5-year graduation rate for students with disabilities is 53% (National Center for Education Statistics). This number will continue to be monitored.

University policy allows up to 5% of the incoming class to be admitted with scores below the index. The rule states, *"Students not admitted under the published criteria may be considered for admission on an exceptional basis if they fall into one of the categories of exception (unique, talented, culturally disadvantaged and/or ethnic minority students whose academic records are deemed to be inadequately reflective of their potential for success at the University or whose special talents/diversity will enhance the life and character of the institution)."* These students must be sponsored by an office (e.g., an academic department, Center for Ethnic Student Affairs, Center for Disability Services, etc.). These offices are then responsible for providing services that give the student the support needed to succeed on campus. six-year graduation rates for these students are well below the average, reflecting a greater need to evaluate the academic and support services offered to these students.

In contrast, several scholarship opportunities have been made available to students who come from ethnically diverse or disadvantaged backgrounds. These scholarship opportunities have been very successful. One such program, the Larry Miller Scholarship, is administered through student affairs. Twenty students are selected each year, several with low admissions index scores. Now in its fifth year, 95% of the program participants have either graduated or are currently in school. The Utah Opportunities Scholarship, administered through the Associate Vice President for Diversity, has equally impressive numbers, with 85% of the recipients of the scholarship in the first cohorts graduating in 4 years (compared to the 50% 6-year 1998 cohort). Assessing which elements in these programs contribute to this outstanding retention rate may help provide insight into helping other students from such backgrounds succeed.

3.B.2 The institution provides opportunities for students to participate in institutional governance. Faculty are involved in the development of policies for student programs and services.

The Associated Students of the University of Utah annually elect a student-body president, vice president, and senior class president who act as official representatives for the University. The student-body president is a voting member of the University of Utah Board of Trustees and appoints students as voting members to all University standing committees. Other elected student officers include 58 assembly members representing each department and 16 senate members. Assembly members enact student legislation and, in many colleges, are voting members of each department's promotion and tenure committee. However, even in the colleges where they are not voting members, their input on decisions is solicited and used. Student senate members are also voting members of the Academic Senate. The rights and responsibilities of student officers are clearly articulated in the Associated Students of the University of Utah (ASUU) Constitution (see Student Affairs Exhibit C).

Faculty involvement in the development of policies for student services comes through several mechanisms. University faculty sit on the Americans with Disabilities (ADA) Coordinating Committee, which serves as a steering committee on ADA issues, advises the ADA Coordinator, prioritizes ADA compliance projects, tracks deadlines for compliance-related projects, and facilitates communication and training opportunities regarding ADA issues for the University community. The committee reports to President Young. The Bennion Center Advisory Board, composed of students, faculty, staff, alumni, and community representatives, gives advice and guidance to the Lowell Bennion Community Service Center, provides program guidance and community fund-raising support, takes on special tasks as needed by the Bennion Center, and establishes major goals. It reports to President Young.

The Campus Recreation Advisory Committee reviews and recommends changes to policies, programs, budgets, and facilities for campus recreation, including open, outdoor, and intramural activities, as well as all related sports clubs. It also advises the director of campus recreation on matters of programming and reports to the Vice President for Student Affairs. The Committee on Student Affairs, which also reports to the Vice President for Student Affairs, develops and implements policies and procedures pertaining to student life in the University, serves as an appellate court to the

ASUU Judiciary and the Greek Council Judiciary, recommends to the Board of Trustees proposed regulations relating to student government and student organizations, proposed amendments to the Student Code, and to the ASUU constitution. Both faculty and students sit on this committee.

Other avenues for faculty involvement in policy setting dealing with students occur through the Student Behavior Committee and the University Diversity Committee.

3.B.3 Policies on students' rights and responsibilities, including those related to academic honesty and procedural rights, are clearly stated, well publicized, readily available, and implemented in a fair and consistent manner.

The policies on students' rights and responsibilities are clearly stated in the University's *Policies and Procedure Manual* edition 8, revision 4, Chapter X: Code of Student Rights and Responsibilities, Parts II - VII. This document identifies student rights and standards for behavioral, academic, and professional conduct. Also included is the procedure for grade appeal. The Student Code is available on the University's Website at *http://www.admin.utah.edu/ppmanual/8/8-10.html* and as Student Affairs Exhibit D.

3.B.4 The institution makes adequate provision for the safety and security of its students and their property. Information concerning student safety is published and widely distributed.

The institution makes adequate provisions and does all that is possible for the safety and security of its students and their property. The mission of the University of Utah Department of Public Safety is to provide a safe, crime-free environment for anyone who chooses to work, live, learn, or visit the University of Utah. This is accomplished by enforcing federal, state, and local laws and ordinances, as well as University of Utah policy and procedures. The Department of Public Safety also provides services to the University community that promote awareness and education, in order to prevent crime, promote personal safety, and protect property.

Every effort is made to keep the University community well informed about issues, interests, and policies relevant to safety and security on campus. Information concerning safety and crimes on campus, current crime statistics, and other related items are published and widely distributed in a timely fashion. This dissemination can be found in the *Daily Utah Chronicle*, the local media, special notices, and at *www.dps.utah.edu*.

3.B.5 The institution publishes and makes available to both prospective and enrolled students a catalog or bulletin that describes: its mission, admission requirements and procedures, students' rights and responsibilities, academic regulations, degree-completion requirements, credit courses and descriptions, tuition, fees and other charges, refund policy, and other items relative to attending the institution or withdrawing from it. In addition, a student handbook or its equivalent is published and distributed. A student handbook normally will include information on student conduct, a grievance policy, academic honesty, student government, student organizations and services, and athletics. The student handbook may be combined with the institution's catalog.

The University publishes a *General Catalog* every 2 years that contains information essential to student and prospective students including the mission, admission requirements and procedures, students' rights and responsibilities (Student Code), academic regulations, degree-completion requirements, credit courses and descriptions, tuition, fees and other charges, refund policies, and other items relative to attending the institution or withdrawing from it. In addition, the *General Catalog* covers information on student activities, including student government, athletics, student services, academic resources, and special academic programs. The Student Code contains information on student conduct, the grievance policy, and academic honesty. Although hard copies are available, students are encouraged to access the necessary information through the Web (*http://www.acs.utah.edu/gencatalog/index.html*).

In addition, all entering undergraduates receive the *Undergraduate Bulletin and Student Resource Guide* (*http://www.utah.edu/bulletin/*), which additionally emphasizes specific areas such as degree requirements, registering and withdrawing from classes, advising options, and student organizations and services. Hard copies of the *General Catalog* (Student Affairs Exhibit E), *Undergraduate Bulletin and Student Resource Guide* (Student Affairs Exhibit F), and the Student Code (Student Affairs Exhibit 3D) will be available.

3.B.6 The institution periodically and systematically evaluates the appropriateness, adequacy, and utilization of student services and programs and uses the results of the evaluation as a basis for change.

Following the last accreditation report in 1996, the site visitors found "Assessment in student affairs is inadequate" (p. 60). The division instituted a complete restructuring of the method in which assessment was conducted across the division and within departments. In March 2000, the responsibility for assessment, evaluation, and research for the division was given to the Assistant Vice President for Student Development. Starting in 1999-2000, all departments were required to write an annual report, outlining the accomplishments for the year. Over the past 5 years, these reports have contained increasingly more assessment-driven information. In June 2003, the division was able to fund the first full-time student affairs coordinator of assessment, evaluation, and research. In July 2004, this position was reclassified as a director to emphasize the essential nature of this position to the division.

Assessment of Divisional and Departmental Effectiveness: Philosophy

Student affairs supports the University's student outcomes assessment activities by promoting the core issues of (1) student progression, (2) student learning, and (3) student engagement and University experiences.

- **Student progression:** Student affairs directly impacts the progression of students through school. The enrollment management area facilitates promoting the University to prospective students, admission to the University, scheduling and registration of classes, maintenance of records, and continuance in school through managing grants, loans, and scholarships. The support services help increase retention by eliminating impediments to student success. For example, the Counseling Center's semiannual client questionnaire in 2004 showed that, of the students in counseling, 33% "agreed" or "strongly agreed" that they were thinking of leaving the University prior to counseling. Of those, 82% "agreed" or "strongly agreed" that counseling helped them stay at the University.
- **Student learning:** This particular dimension has not historically been assessed by student affairs and yet it is well known that significant learning takes place outside the classroom. A number of assessment efforts have been undertaken that directly address how, when, and what students learn by participating in these activities outside the classroom. What students learn has been assessed through (1) direct measures of

learning, such as an assessment of student learning during an internship or cooperative education experience, and (2) student opinions regarding their experiences with student affairs units. The director of assessment, evaluation, and research is currently working with all departments so that every student assessment reflects a component of student learning.

- **Student engagement:** Although 2004 National Survey of Student Engagement results suggest the University of Utah students participate significantly less in co-curricular activities than students at other doctoral institutions, it should be noted that the percentage of seniors who did not participate at all dropped dramatically, with 77% stating that they spent no time in co-curricular activities in 2000 to 55% in 2004. This occurred despite a continued comparatively high percentage of students working off-campus and caring for dependents. Student engagement is measured through (1) tracking participation numbers, both generally and by subgroups, (2) assessing student satisfaction with experiences, and (3) systematically comparing programs with peer institutions.

In addition, the division has chosen to further emphasize the philosophy that student development is a learning process. Our commitment to this process is critical. As a division, we provide students with many opportunities to actively engage in that learning process, starting with the decision to attend the University of Utah, through the successful completion of their degree requirements, and beyond degree completion as Career Services assists alumni with the job search process. The division has adopted the broadly integrated desired learning outcomes outlined in *Learning Reconsidered: A Campuswide Focus on the Student Experience*, published in 2004 as a joint effort by the National Association of Student Personnel Administrators (NASPA) and the American College Personnel Association (ACPA) (2004). These outcomes reflect the mission and goals of student affairs (as stated on the first page of this section). The learning outcomes include (1) cognitive complexity; (2) knowledge acquisition, integration, and application; (3) humanitarianism; (4) civic engagement; (5) interpersonal and intrapersonal competence; (6) practical competence; and (7) persistence and academic achievement. The outline of assessment activities (see Student Affairs Exhibit: Student Affairs Assessment Matrix) includes the three University core issues (progression, learning, and engagement) and the seven learning outcomes listed above, endorsed by NASPA and ACPA. Results of assessments and activities and the instruments for the Division of Student Affairs are available as Student Affairs Exhibit G. (Keeling, R.P. [2004]. *Learning Reconsidered: A Campuswide Focus on the Student Experience*. NASPA and ACPA, Washington, DC).

Assessment of Divisional and Departmental Effectiveness: Methods

For the past 2 years, student affairs has contracted with Student Voice, an independent company that provides support for the technical aspects of the assessment activities. Initially, Student Voice was used to help implement a series of personal digital assistants (PDA)-based assessments. For example, summer orientation downloaded evaluations immediately following a program and made changes for the next day's orientation based on the results. The Union used the system to do on-the-spot reviews of their Crimson Nights, an evening program that draws thousands of students. The Center for Disability Services conducted a needs assessment with all students who requested services from their office during the first 2 weeks of class and were able to staff and program accordingly. This year, Student Voice has contracted to develop Web-based surveys for the Division of Student Affairs upon receiving draft instruments from offices.

The majority of student affairs assessments are conducted through (1) Web-based surveys, (2) evaluations or questionnaires administered through PDAs, (3) focus groups, (4) student evaluations of academic courses and workshops, (5) employer feedback (in the case of Career Services), (6) faculty feedback (for service learning courses), and (7) exit surveys or interviews with graduating seniors or students leaving employment in student affairs. Plans for instituting more behavioral learning outcome assessment measures have been proposed to several departments. Each department is working closely with the director of assessment, evaluation, and research to ensure that all assessments, from satisfaction to climate, incorporate learning outcomes. The Division of Student Affairs maintains a detailed assessment matrix that identifies the unit, assessment instruments, core issues, learning outcomes, audience, and frequency of administration. This matrix appears as Student Affairs Exhibit 3M.

Division-wide: Several division- or University-wide assessments have been implemented:

- **National Survey of Student Engagement**, instituted in spring 2000, was not readministered until 2004 because the University lacked an effective method for implementing findings. It is now scheduled for administration every 2 years in March to first-time freshmen and graduating seniors. In looking at the results from 2000 to 2004, positive changes are evident. When assessing the quality of relationships with other students, faculty members, and administrative personnel, there was a significant increase for both freshmen and seniors in the ratings (see Table 3.2). This positive change is particularly notable for relationships with the administrative personnel and offices.

However, it should be noted that several of these numbers are still significantly lower than the results for comparable doctoral institutions, particularly for freshmen relationships with other students. Continued work in this area is needed.

- **Graduate Student Survey**, conducted in the spring of 2004, attempted to capture a snapshot of graduate students' experiences on campus in areas relevant to student affairs, focusing on campus climate, satisfaction, and usage of services. This instrument will be administered every 2 years and may be incorporated with the graduate student survey administered by the Office of Budget and Institutional Analysis. The initial assessment, completed by 24% of graduate students, suggested that even though graduate students are pleased with their experiences with student affairs units, the usage is low. Although respondents tended to agree they "feel they are accepted and respected at the University," 13% believed they had experienced discrimination on campus, particularly with regard to religion. The survey raised more questions than it answered and will be revised for the spring 2006 implementation.

- **Transfer Student Retention Study** was a longitudinal assessment of transfer students,

Table 3.2: National Survey of Student Engagement (NSSE) Percent of Students With Ratings Above 4 on a 1-7 Scale With 7 Being Most Positive

NSSE Item	FRESHMEN		SENIORS	
	2000	2004	2000	2004
Quality of relationships with other students	64%	76%	67%	75%
Quality of relationships with faculty members	55%	78%	65%	75%
Quality of relationships with administrative personnel and offices	37%	64%	32%	49%

initiated in August 2001 and completed in December 2003. Since transfer students currently make up over 50% of the entering class of undergraduates each year, this study attempted to identify factors related to persistence and identify areas for intervention for those "at risk" for dropping out, based on academic history, psychological functioning, and perceptions of educational and campus climate. The five variables that contributed to persistence in a predictive model were all gathered in the initial assessment, given 2 weeks prior to the start of their first semester, and did not appear to be related to subsequent experiences. Follow-up focus groups with new and graduating transfer students provided further insights into reasons why these students leave.

- **Leadership Benchmarking Project** is under development by Student Voice, and the University of Utah has been asked to be an initial participant. This assessment will help measure the quality of experiences and the learning that occurs for the student leaders on campus. This project is still in the early phases of development.

Students are, overall, very satisfied with the service they receive when interacting with the Division of Student Affairs while endorsing increased learning outcomes. The Admissions Office, in their annual survey, found that 82% of students were satisfied or very satisfied with the overall admissions process, up slightly from the previous year. The Registrar's Office has equally impressive numbers, with 87% of graduating students rating the quality of service provided as good or very good.

However, communication between students and the Division of Student Affairs, although rated highly on assessments as indicated above, has room for improvement. Surveys in both Admissions and Financial Aid identified concerns with reaching a "live" person, stating that students often received a busy signal or no answer. Offices with significant telephone interaction with students are investigating methods for decreasing the wait time. In addition, improvements in technology may resolve some of these issues as more students seek answers online. We are developing a handbook outlining most-often-asked questions, and identifying a contact person for each office to better facilitate referrals among student affairs units.

STANDARD 3.C – ACADEMIC CREDIT AND RECORDS

3.C.1 Evaluation of student learning or achievement, and the award of credit, are based upon clearly stated and distinguishable criteria. Academic records are accurate, secure, and comprehensive. Credit is defined and awarded consonant with the Glossary definition.

Evaluation of student learning or achievement, and the award of credit, are based on clearly stated and distinguishable criteria, in the University *Policies and Procedures Manual*: Faculty Regulations - Chapter VII Instruction and Evaluation; in particular, sections 9.7.7 – 9.7.12. Security of records will be discussed in detail in 3.C.5.

The Glossary definition is: *"one unit for 3 hours of student work per week (e.g., 1 hour of lecture and 2 of study or 3 of laboratory) for 10 weeks a quarter or 15 weeks a semester." Policies and Procedures Manual*, Section 9.7.3, Paragraph F, states: "*At the University of Utah we assume that there is at least 1 hour in class and 2 hours outside of class per week or the equivalent combination connected to every credit hour. In laboratories it is expected that at least 2 to 3 hours are spent in class and approximately the same amount outside for each credit hour awarded*." Section 9.7.1 states: "*The academic year shall be divided into a Fall and Spring semester of approximately 15 weeks each and a Summer term of approximately 12 weeks.*"

3.C.2 Criteria used for evaluating student performance and achievement including those for theses, dissertations, and portfolios, are appropriate to the degree level, clearly stated and implemented.

Criteria for evaluating theses, dissertations, and portfolios are established locally at the department level and monitored centrally for graduate students by The Graduate School. Consistent thesis and dissertation evaluations are encouraged by requiring all master's thesis candidates to have supervisory committees made up of three faculty members, the chair being a regular (tenured or tenure-track) faculty. Doctoral committees are comprised of five faculty, one of whom must come from an outside department, and chaired by a regular faculty member. Abstracts of recent dissertations and theses are included in all self-study documents for the Graduate Council program reviews and are seen by both external and internal reviewers. The Graduate School includes a thesis office with a thesis editor and assistant thesis editor. The thesis office scrutinizes all theses and dissertations and has an enviable record of having materials accepted by University Microfilms International.

3.C.3 Clear and well-publicized distinctions are made between degree and non-degree credit. Institutional publications and oral representations explicitly indicate if credit will not be recognized toward a degree, or if special conditions exist before such credit will be recognized. Any use of such terms as extension credit, X credit, continuing education credit, is accompanied by clear statements regarding the acceptability of such credit toward degrees offered by that institution. Student transcripts clearly note when any credit awarded is non-degree credit. Whenever institutions grant non-degree credit other than the Continuing Education Unit (CEU), some summary evaluation of student performance beyond mere attendance is available.

Clear and well-publicized distinctions are made between degree (credit) and nondegree credit. All courses numbered below 1000 are noncredit and have zero credit hours; all courses numbered 1000 or above are degree (credit) courses. Such distinctions are publicized in the printed catalog, online catalog, and schedule. Student transcripts clearly note when any credit awarded is nondegree credit; such courses — any numbered below 1000 — show "0" credit hours, and the course number key printed on the back of the transcript shows all such courses are noncredit (nondegree). Additionally, institutional publications explicitly indicate if credit will not be recognized for a degree. In particular, limitations on credit-bearing courses counting towards a degree taken by a student while he or she was a nonmatriculated student are spelled out in the *General Catalog* (p. 32).

3.C.4 Transfer credit is accepted from accredited institutions or from other institutions under procedures which provide adequate safeguards to ensure high academic quality and relevance to the students' programs. Implementation of transfer credit policies is consistent with 2.C.4 as well as Policy 2.5 Transfer and Award of Academic Credit. The final judgment for determining acceptable credit for transfer is the responsibility of the receiving institution.

Transfer credit is accepted from accredited institutions or from other institutions under procedures that provide adequate safeguards to ensure high academic quality and relevance to students programs. Implementation of transfer credit policies is consistent with 2.C.4 as well as Policy 2.5 Transfer and Award of Academic Credit. The final judgment for determining acceptable credit for transfer is the responsibility of the receiving institution. The University of Utah has established the Credits and Admission Committee, which is a faculty committee. This committee is the official University body charged with making the decision pertaining to articulation and acceptance of transfer or special credit. Committee recommendations are forwarded to the Academic Senate for final approval.

The Utah legislature mandates a "Common Course Numbering System" for all state schools. Schools are currently working on this program, which will facilitate common course numbers and the same course materials being covered at all institutions in the Utah System of Higher Education. Each year, the University of Utah publishes an articulation guide for all schools in the state. This information helps students and advisors as they plan their transfer to the University of Utah. Copies of these guides will be available as Student Affairs Exhibit 3H.

The appeal avenue for students for credit from a nonaccredited institution is through the University of Utah Admissions Office. A course description is given to the Admissions Office and forwarded to the appropriate academic department for special consideration. With departmental approval and recommendation forwarded to the Admissions Office, the credit is then posted to a student's record. If credit is denied, students are notified that the department will not accept the credit.

3.C.5 The institution makes provision for the security of student records of admission and progress. Student records, including transcripts, are private, accurate, complete, and permanent. They are protected by fireproof and otherwise safe storage and are backed by duplicate files. Data and records maintained in computing systems have adequate security and provision for recovery in the event of disaster. The information-release policy respects the right of individual privacy and ensures the confidentiality of records and files.

We have developed stringent procedures that every University employee must adhere to in order to gain access to sensitive data. All employees review a security presentation during new employee orientation that emphasizes the importance of keeping institutional data secure. Access to student data is granted only to University employees with a legitimate educational interest in the records. All employees who are granted access to student records acknowledge they have completed a Family Educational Rights and Privacy Act tutorial and affirm they have read and will comply with the provisions for security and confidentiality of employee and student records and files as outlined in the University *Policies and Procedures Manual.*

The student administration system resides on a redundant array system. This system has redundant hardware so that if any component fails, the system will continue to work. We are able to replace the failed component transparently. Each morning at 2:00 AM, the system is stopped for a few minutes and a volume snapshot is executed. This snapshot is then compressed, cataloged, and copied to magnetic tape. Weekly copies are transported off-site to a secure storage facility and rotated on a 3-week basis. Monthly copies are retired for historical archival purposes. All access to the student information must be explicitly assigned or inherited on an attribute/role basis. The access security profile used to access the data is again verified against a central directory during each login process.

We attempt to meet or exceed industry standards with regard to information security. This includes implementing such items as data encryption, Secure Socket Layer communications, firewalls, etc. Administrative Computing Services, which supports the student administration system, is audited on a regular basis by both internal and external sources.

STANDARD 3.D – STUDENT SERVICES

3.D.1 The institution adopts student admission policies consistent with its mission. It specifies qualifications for admission to the institution and its programs, and it adheres to those policies in its admission practices.

The institution adopts student admission policies consistent with its mission. It specifies qualifications for admission to the institution and its programs, and it adheres to those policies in its admission practices. These policies are reviewed annually by the Credits and Admissions Committee to make sure University requirements and needs are being met. Suggested changes are forwarded to the Senior Vice President for Academic Affairs for approval and then to the Academic Senate, if necessary. The Admissions Committee continually looks for consistency in requirements for all students making application.

3.D.2 The institution, in keeping with its mission and admission policy, gives attention to the needs and characteristics of its student body with conscious attention to such factors as ethnic, socioeconomic, and religious diversity while demonstrating regard for students' rights and responsibilities.

The institution continually assesses the needs and characteristics of its student body and matches services to meet the changing profile of our students. The Center for Ethnic Student Affairs, which reports through the Office of Academic Affairs and works closely with student affairs departments, has specific responsibility for working with racially and ethnically diverse students. However, these responsibilities are shared throughout the Division of Student Affairs units. The staff receive ongoing training to increase their knowledge, awareness, and skills in working with students who differ from each other on a number of variables, including race, religion, and socioeconomic status.

Student Recruitment coordinates several initiatives to target students of diverse backgrounds. Last year, 673 racially/ethnically diverse students were invited to a recruiting dinner on campus. Of these, 97 attended, with an 80% application rate. The Student Ambassador Program also targets students who are traditionally underrepresented in higher education and offers assistance in applying. This program served 138 high school seniors last year with a 61% application rate. In August 2005, student affairs hired a bilingual enrollment management specialist to work closely with the increasing Latino population in accessing information about attending the University of Utah.

In addition, the Educational Opportunity Program, which houses two TRIO grants (Upward Bound and Student Support Services), is located in student affairs. Results of an Upward Bound project report from the Department of Education (2000-2001 is the latest available) indicated that the University of Utah Upward Bound serves more students, more low income and first generation students, and more ethnically diverse students than the average of programs at other 4-year institutions. Despite a drop in applications from international students, these numbers have returned to pre-9/11 levels and provide opportunities for U.S. students to interact with those from backgrounds different from their own.

Efforts in recruiting and retaining diverse students and staff, and increasing awareness of these issues for students and staff, have improved. Comparing National Survey of Student Engagement results from 2000 to 2004, it is clear that gains have been made in this area, as seen in Table 3.3. To the stimulus question regarding how frequently these activities were occurring or encouraged, the students' responses showed increases.

Table 3.3: National Survey of Student Engagement (NSSE) Percentage of Students Endorsing "Often" and "Very Often"

NSSE Item	FRESHMEN		SENIORS	
	2000	2004	2000	2004
Has serious conversations with students of a different race or ethnicity than your own	36%	43%	41%	51%
Encouraging contact among students from different economic, social, racial/ethnic backgrounds	26%	47%	27%	35%

However, survey results also suggest that University of Utah students, even with the gains on this item, are significantly less likely to "have a serious conversation with students of a different race or ethnicity" than peers at other institutions. In addition, although student affairs has successfully sought to increase the number of staff from diverse backgrounds, racially and ethnically diverse staff are still underrepresented. Student affairs is actively engaged in efforts to improve and expand services to diverse students

Students' rights and responsibilities are clearly outlined in the Student Code.

3.D.3 Appropriate policies and procedures guide the placement of students in courses and programs based upon their academic and technical skills. Such placement ensures a reasonable probability of success at a level commensurate with the institution's expectations. Special provisions are made for "ability to benefit" students.

The University of Utah has developed a placement system to assist each student in identifying the appropriate course for math, writing, and foreign language. This information is explained to students through the 2005-06 *University of Utah Undergraduate Bulletin and Student Resource Guide* (Student Affairs Exhibit 3F). Math (or Quantitative Placement) is explained on p. 20, writing placement is explained on p. 18, and foreign language is explained on p. 27.

Writing placement is based on the admissions index, which is a matrix developed from ACT/SAT composite scores and high school grade point average. If a student does not have an admissions index (transfer student), has not taken an articulated course, or objects to the designated placement, the student can enroll in Writing 1010 or he/she can pursue a writing placement exam at the University of Utah Testing Center. Math placement is based on ACT/SAT math scores. This score will designate the appropriate place to begin within the math sequence of the institution. If the student does not have a score, has not taken an articulated course, or objects to designated placement, he/she can pursue a math placement exam at the University of Utah Testing Center in Student Services Building 450.

Advanced placement testing is accepted at the University of Utah. Successful completion of various advanced placement exam areas will satisfy certain requirements within mathematics and writing. Students are provided this information on p. 23 of the 2005-06 *University of Utah Undergraduate Bulletin and Student Resource Guide*. Because advanced placement testing is pursued during high school enrollment, University student recruitment staff and academic advisors share this information with high school personnel at various venues, including the University of Utah High School Counselor Conference.

A student with a documented disability can pursue a substitution for the quantitative literacy requirement (math) and the foreign language requirement for a Bachelor of Arts degree. This process begins with a consultation in the Center for Disability Services Office in the Olpin Union. Upon review of appropriate documentation, a disability services counselor will recommend a substitution, if appropriate.

A negotiation among the student, academic department, and disability counselor will occur to identify appropriate courses from a substitution list. Upon clarification and agreement, this information is forwarded to the Graduation Office as an information document to be utilized upon application for graduation from the institution. The Center for Disability Services will provide appropriate assistance based on the disability to ensure the student has the opportunity to succeed.

3.D.4 The institution specifies and publishes requirements for continuation in, or termination from, its educational programs, and it maintains an appeals process. The policy for readmission of students who have been suspended or terminated is clearly defined.

The Code of Student Rights and Responsibilities (Student Affairs Exhibit D) clearly specifies the University's policy regarding termination from either an academic program or the University (see University Regulation X, Part III, Part V-F and Part III F). In addition, each department/college maintains a policy regarding the minimum academic requirement necessary to remain a student in good standing. Also, the *General Catalog* identifies the minimum grade point average necessary to remain a student in good standing. See Undergraduate Information-Scholastic Standards, p. 30 of the 2006-2008 *General Catalog* (Student Affairs Exhibit E).

3.D.5 Institutional and program graduation requirements are stated clearly in appropriate publications and are consistently applied in both the certificate and degree verification process. Appropriate reference to the Student Right-to-Know Act is included in required publications.

Institutional and program graduation requirements are printed in the *General Catalog, Undergraduate Bulletin and Student Resource Guide*, and publications provided by academic departments at orientation and through University College. Graduation requirements are available on the Registrar's Website through links to the *General Catalog, Graduate Handbook*, and the Office of Undergraduate Studies. Links to graduation requirements are also available on the University home page (*http://www.utah.edu*). The Graduation Office of the Registrar's Office verifies that graduation requirements for certificates and degrees are applied consistently.

3.D.6 The institution provides an effective program of financial aid consistent with its mission and goals, the needs of its students, and institutional resources. There is provision for institutional accountability for all financial aid awards.

The mission of the Financial Aid and Scholarships Office is to facilitate student access to the University of Utah by administering federal, state, and institutional aid programs in an equitable and comprehensive manner. Included in this mission are the important goals of recruitment and retention, whereby promising students are attracted to the University and supported as they pursue their educational goals.

In order to achieve an effective financial aid program, the Financial Aid and Scholarships Office must collaborate continually with on-campus departments and off-campus agencies to assure compliance with all federal, state, and institutional guidelines and regulations.

The PeopleSoft financial aid module records all offers, awards, and amounts paid to participating students. This permits the financial accounting system to access the information. Through careful coordination, the Income Accounting Office is then able to receive financial aid and scholarship data electronically to generate cash receipts and disbursements. This separation of responsibility allows for objective reconciliation of the applicable accounts by staff members of the Financial Aid, Income Accounting, and General Accounting Offices.

3.D.7 Information regarding the categories of financial assistance (scholarships and grants) is published and made available to both prospective and enrolled students.

The Financial Aid and Scholarships Office disburses necessary forms to obtain federal, state, and institutional aid. The Financial Aid Office in the Student Services Building is accessible to all employees, students, and prospective students during standard business hours 8:00 a.m. to 5:00 p.m., Monday, and Wednesday through Friday; Tuesday's hours are 12:00 p.m. to 6:00 p.m. In addition, the Financial Aid Office also conducts informational and outreach presentations throughout the University and the community at large.

The University of Utah offers students a variety of grants, loans, and scholarships. Information regarding the various types of financial assistance available at the University of Utah is published annually in the *Financial Aid and Scholarships Bulletin* and on the Financial Aid and Scholarships Office Website (*http://www.sa.utah.edu/finance/)*. For additional information regarding federal aid programs, individuals are encouraged to visit the Website (*http://www.studentaid.ed.gov).*

3.D.8 The institution regularly monitors its student loan programs and the institutional loan default rate. Informational sessions which give attention to loan repayment obligations are conducted for financial aid recipients.

The University of Utah and the Financial Aid and Scholarships Office annually receive the cohort default rate from the Department of Education. With regard to the loan default rate for the University, the Student Loan Office accounts for the Federal Perkins Loans and its respective default rate. The Financial Aid Office accounts for all Federal Family Education Loan Program loans through the use of entrance counseling.

All students receiving loans of any type are required to complete an entrance counseling session before the Financial Aid Office certifies his or her federal Stafford (subsidized or unsubsidized) and Perkins loans. The counseling session provides information about how to manage student loans, both during and after college. In addition, students are required to complete exit counseling at the end of their academic careers at the University of Utah.

The official cohort default rates are important to the University and the Financial Aid Office because they affect the University's eligibility to participate in the Title IV Student Financial Assistance Programs. The University of Utah's favorable 1.5% default rate is due in part to our loan orientation program, which annually informs and reminds student borrowers of their borrowing obligations.

3.D.9 The institution provides for the orientation of new students, including special populations, at both undergraduate and graduate levels.

Orientations have been required for new undergraduates, freshmen, and transfer students for the past 2 years. Students can choose to attend a 1-day, overnight, or 3-day intensive orientation with an outdoor component; or an online orientation. Orientation is required for both new freshman and transfer students. The number of undergraduates choosing to participate in onsite orientations is growing. Surveys indicate that 88% of participants in 1-day freshman programs and 82% of transfer participants state, "*Orientation was helpful and worth my time*." This number jumps to 94% for the overnight programs. Across all questions, including increased knowledge about registration and general education requirements, the extended program participants showed greater learning outcomes and higher satisfaction. This suggests that a greater emphasis on encouraging students to attend the overnight programs might be beneficial.

In addition, specialty orientations, such as the week-long orientation provided by the International Center for new international students, are offered. In fall 2004, over 350 students participated in this introduction to the University and surrounding community. Monthly mini-orientations for incoming scholars and their families are also provided and, at the year's end, over 850 international participants had participated in the International Center orientation.

Each graduate department is responsible for its own orientation. In a survey of graduate students administered in spring 2004, 71% of students said they attended their departmental orientation, with 63% indicating they received adequate training to use departmental facilities and services. (This number also included those who did NOT attend orientation.)

3.D.10 A systematic program of academic and other educational program advisement is provided. Advisors help students make appropriate decisions concerning academic choices and career paths. Specific advisor responsibilities are defined, published, and made available to students.

The University of Utah utilizes a mixed model for academic advising. A central advising office, University College Advising, reports to the Senior Associate Vice President for Academic Affairs and delivers services to many first-time students. This office serves as a central location for referral on academic advising questions and delivers services related to the advising of general education and bachelor's degree requirements, preprofessional advising, major exploration, scholastic standards, freshman advising, and transfer issues.

Academic departments within each college provide advising for undergraduate students upon entry to the major. A mix of professional advisors, faculty, administrative staff, and peer advisors is utilized in the delivery of information concerning major requirements, minors/certificate requirements, internships, and other department-related activities. Graduate students also work closely with advisors in all stages of their degree program.

In addition to advisors attached to a discipline, certain advisors are organized based on a specific student population. These areas include athletics, disability services, and the Center for Ethnic Student Affairs. In each situation, the advisors are experts on their specific population to ensure services that assist with retention and graduation.

The University Academic Advising Committee is a campuswide committee that discusses campus issues that will impact academic advising. An advisor from University College Advising and one from an academic department chair this group. Each college/department sends one participant for a monthly meeting. In addition to advisors, other campus partners are invited to ensure that appropriate information is being communicated to the advising community. The University Academic Advising Committee publishes a newsletter sharing advising information across the University, holds periodic training sessions for advisors, and conducts an end-of-the-year get-together.

Students meet an academic advisor at or before new student orientation and are provided with additional information on how to contact an advisor. This information is located in the 2005-06 *University of Utah Undergraduate Bulletin and Student Resource Guide* on p. 22. This document includes information on University College Advising and departmental advising on p. 7. Upon enrollment, new freshman students receive an invitation to meet with an academic advisor during their first semester. The invitation includes contact information for all campus advisors. Paper and electronic resources that are continually updated with advising information are the *General Catalog,* major sheets, University College, and departmental Web pages.

The National Academic Advising Association (NACADA) recognized the University of Utah with an Outstanding Advising Award at the 2005 NACADA national conference. The Freshman Advising Program at the University was recognized for its program quality, creativity, impact, and institutional commitment to students.

3.D.11 Career counseling and placement services are consistent with student needs and institutional mission.

Career Services operates with a central mission of educating students and alumni to assist in preparing them for careers. To this end, services include a combination of career counseling (also available through the University Counseling Center for those at early stages of the process); job search skills, such as resumé writing and interviewing; internship placement; onsite interviews; job fairs; and student employment assistance, among others. Each counselor has a number of academic departments and/or colleges with which he or she works closely. The counselors serve as a resource to both students and faculty from these departments and help facilitate both the education and job placement of these students. Employer development is also a focus of the office in order to increase the number of employers seeking University of Utah graduates postgraduation. A recent addition is Alumni Career Services, funded jointly by Career Services and the Alumni Association.

During 2004-2005, 3,744 students were registered with Career Services. The majority of these had at least one appointment with a counselor. Formal internship opportunities coordinated through Career Services were experienced by 665 students during the past year, generating 2,842 credits. Biannually, Career Services surveys students who participate in internships.

Results from the December 2003 survey indicate 89% of respondents believe the internship positively contributed to their education, 80% reported the internship helped clarify or reinforce a career goal, and 73% felt the internship helped them improve their problem-solving skills. In addition to those internships coordinated through Career Services, most departments offer practical experiences through internships, practica, and other for-credit experiential opportunities.

Last year, 1,671 interviews were conducted on campus. Although this is fewer than during 2002-2003, it represents a 3% increase from 2003-2004, with 20 new companies coming to campus.

In addition to Career Services, additional career counseling takes place in the departments. For example, the David Eccles School of Business has a career management program for M.B.A. students, and undergraduate career needs are met through a close relationship with Career Services.

3.D.12 Professional health care, including psychological health and relevant health education, is readily available to residential students and to other students, as appropriate.

Student Health Services (SHS) is staffed by physicians, registered nurses, nurse practitioners, and health educators, as well as support staff. The administrative director has a master's in public administration and more than 20 years experience with SHS, and the medical director is a physician who specializes in pediatrics and adolescent medicine. The office, funded by student fees and fees for services, provides affordable, same-day appointments to all students and refers students to other resources as appropriate. The center offers specialty clinics including travel clinic, women's clinic, pediatrics, sports medicine, adult physicals, INH counseling, and HIV counseling. Student Health Services also administers the required proof of immunization for mumps and measles, as well as coordinating student health insurance.

A recent annual survey indicated that 75% of SHS patients spent more than 15 minutes with their provider, and 93% agreed that experiences with SHS were positive. Student Health Services was the first college health center in the State of Utah. At the time, it was 1 of only 24 in the country to be fullyaccredited by the Joint Commission on Accreditation of Healthcare Organizations. The SHS was reaccredited in March 2004.

The University Counseling Center (UCC) is a multidisciplinary center staffed by psychologists, social workers, licensed counselors, psychiatrists, learning specialists, and support staff with services available to students, staff, and faculty. The first visit is free, with fees set for subsequent visits on a sliding scale. No one is denied service because of inability to pay. Personal counseling is provided in individual, group, or couples format. Because the goal of counseling offered through UCC is educational and short term in nature with a 12-session limit per year for individual counseling, clients who are determined to need long-term intensive treatment are referred to services outside UCC. The referral is facilitated by the therapist. New clients generally are seen within a week of the initial call, with same-day appointments available for crises. The University Counseling Center also works closely with staff and faculty to provide consultation and crisis services when these are appropriate, for example following a death on campus.

The UCC assesses the effectiveness of their services each session through use of an outcome questionnaire (OQ-45). The average number of sessions a client is seen is seven, with an average drop in points on the OQ-45 from 74.68 to 63.68. Although the drop must be 15 points to be considered "recovered," this change in score indicates definite improvement in functioning. In addition, 95% of clients agreed they were satisfied with their experience at UCC. The University Counseling Center has been fully accredited by the International Association of Counseling Services for over 20 years and will have a reaccreditation visit in 2007. The center's pre-doctoral psychology internship has also been fully accredited by the American Psychological Association since 1985 and will be reviewed for reaccreditation in 2006.

The Women's Resource Center provides additional counseling using a feminist therapy model. This effort, supervised by a licensed psychologist and staffed by four interns, provides individual and group counseling. The staff works closely with the University Counseling Center and is further supervised by the director of the Women's Resource Center, who is a licensed clinical social worker.

In addition, University of Utah students have access to the University Hospital facilities that are located on campus.

3.D.13 Student housing, if provided, is designed and operated to enhance the learning environment. It meets recognized standards of health and safety; it is competently staffed.

Serving as the host site for the 2002 Winter Olympic Games resulted in a dramatic change in facilities for housing students, and allowed the University to design living space that would enhance the learning environment. The facilities and operations staff took over responsibility for over 1 million square feet of new housing space and 121,795 square feet of renovated historic building space, which served as the Olympic Village in February and March 2002. This complex, called Heritage Commons, now houses both single and married students and hosts University, local, and national conferences throughout the year. The occupancy rate has soared from 85% in fall 2003 to 95% in fall 2005. This increase reflects a larger number of students who have the opportunity to experience a residential campus environment. Facilities include classroom space, a large computer lab, an advising office, study rooms, tutoring space, and other open areas aimed at increasing educational opportunities.

Housing and Residential Education, which changed its name from the Office of Residential Living in July 2005 to better emphasize its place as a learning environment, works to provide programming that helps build community within each living area. The student-run Residence Hall Association focuses on implementing and supporting programs that focus on the entire residence community. Theme-specific floors such-as the Go Global Floor, First-Year Focus, and Outdoor Adventure help support student interests. The grade point average for students who live in Heritage Commons is 3.0.

The Educational Benchmarking Inc. survey is conducted annually. Results from spring 2005 indicate students rate their satisfaction with safety and security in residential housing as excellent. Students also are satisfied with the extent to which living on campus enhances their ability to study, manage their time more effectively, and adopt a healthy lifestyle. Security and safety received the highest means, and satisfaction with the contract/lease received the lowest.

The University student apartments (*http://www.apartments.utah.edu/singles.html*) are operated through the Division of Administrative Services and are primarily for families, although single students can be accommodated in the Medical Towers. These apartment communities foster individual lifestyles and educational opportunities within a framework of responsible freedom.

3.D.14 Appropriate food services are provided for both resident and nonresident students. These services are supervised by professionally trained food service staff and meet recognized nutritional and mandated health and safety standards.

Dining Services on campus was contracted to Chartwells in 1998, operating under the parent company Compass Group North America. This function reports to the Assistant Vice President of Business and Auxiliary Services under the Division of Student Affairs. Chartwells operates several facilities on campus, including the Heritage Center Dining and the Union Food Court. In addition, they have services in the Annex, Marriott Library, University Services Building, and Crimson View Bistro in the Union. A central focus of their efforts with educating students has been on nutrition. For example, nutritional information is found on their Website. Upon entering the dining area in Heritage Commons, more nutritious foods are placed at the front (salad bar, vegetables, etc.). Desserts are placed away from the major flow of traffic, behind a wall. All staff are trained in health and safety standards and compliance with these standards is routinely assessed. In addition to the facilities operated by Chartwells, dining facilities are contracted by the David Eccles School of Business and the Utah Museum of Fine Arts and located in those buildings.

Evaluations by Dining Services show both an increase in satisfaction with the quality of food and an increase in attention to healthy eating.

3.D.15 Co-curricular activities and programs are offered that foster the intellectual and personal development of students consistent with the institution's mission. The institution adheres to the spirit and intent of equal opportunity for participation. It ensures that appropriate services and facilities are accessible to students in its programs. Co-curricular activities and programs include

adaptation for traditionally under-represented students, such as physically disabled, older, evening, part-time, commuter, and, where applicable, those at off-campus sites.

Associated Students of the University of Utah (ASUU) (*http://www.asuu.utah.edu/*) is the student government and the central campus clearinghouse for student groups and clubs. Each year ASUU maintains the registration of over 300 student organizations. These groups cover interests ranging from academic to music to political to social. All these groups can be accessed through the ASUU Website. Activities and clubs are open to all students, although many are clearly interest specific (e.g., Anthropology Club). To help provide access to clubs that meet the needs of many groups, ASUU has cabinet posts for a diversity coordinator and nontraditional student coordinator. The Center for Disability Services assists with providing access to co-curricular events and clubs for students with disabilities.

Student participation levels and satisfaction with experiences in co-curricular and leadership opportunities have increased. National Survey of Student Engagement 2004 results suggest that a greater number of students than in the 2000 survey are actively involved in co-curricular activities. The Bennion Community Service Center increased the number of service programs and provided leadership opportunities for 70 student leaders. Assessment indicated that students active in the Bennion Community Service Center believe participation promotes student leadership development (88%), enhances personal development (59%), and improves interactions among racial/ethnic groups (39%). Attendance at the Union's Crimson Nights events, which are totally student-planned and led with assistance from advisors, has grown from less than 1,000 during the first event in spring 2004 to approximately 7,000 during the first week of fall semester 2005.

Although numbers are increasing, students participate in co-curricular activities at a significantly lower rate than at peer institutions according to survey results. Student affairs has identified student engagement as a core issue for the division. During a 2-day retreat in October 2005, three key elements were identified for focus: (1) communication; (2) interaction among students, faculty, and student affairs; and (3) student peer-to-peer interaction. These elements stemmed from consistent messages heard during the retreat from a panel of students and a panel of faculty and discussions among the student affairs directors and leadership team.

A task force is being appointed, consisting of representation from students, faculty, and staff, to investigate the issue of how the University as a whole communicates with students from the recruitment phase to postgraduation. Assessment methods are being identified to more clearly assess the issues as well as measure the success of any initiatives. The continuing discussions will take place at both a unit and collaborative level to ensure each student has a signature learning experience outside of the classroom at the University.

3.D.16 The co-curricular program includes policies and procedures that determine the relationship of the institution with its student activities; identifying the needs, evaluating the effectiveness, and providing appropriate governance of the program are joint responsibilities of students and the institution.

The relationship of ASUU and the University is outlined in the *Red Book* (*http://www.asuu.utah.edu/student_government/redbook.php*). A copy of the *Red Book* is available as Student Affairs Exhibit 3C. The *Red Book* outlines all bylaws, policies, and procedures for ASUU governance. The associate dean of students serves as the advisor to ASUU. In addition, the University Joint Apportionment Board, consisting of representatives from students, staff, and faculty, meets monthly to determine whether money expended by ASUU and any proposed budgets meet *Red Book* standards.

Student groups, such as the Residence Halls Association, Greek Life, Union Programming Board, and Student Health Advisory Council, have staff or faculty advisors who work closely with student activities to ensure compliance with all state and federal laws as well as school policies. They also serve as "sounding boards" for student groups during the planning processes.

Evaluation of co-curricular programming is conducted jointly through advisors and students. The Division of Student Affairs director of assessment, evaluation, and research has worked closely with many of the student organizations to help identify needs and evaluate the effectiveness of their programming efforts. For example, during the last Crimson Nights sponsored by the Union Programming Council, students helped administer a survey to participating students that had been developed by the director of assessment in conjunction with the Union Programming Council. The survey was administered on Palm Pilots.

3.D.17 If appropriate to its mission and goals, the institution provides adequate opportunities facilities for student recreational and athletic needs apart from intercollegiate athletics.

Campus Recreation Services is comprised of eight programs (health, education, exercise and recreation complex; intramural sports; outdoor recreation program; sports clubs; golf course; Einar Neilson Field House; and fitness program). During 2004-2005, Campus Recreation Services had a combined participation count of 418,037.

3.D.18 If the institution operates a bookstore, it supports the educational program and contributes to the intellectual climate of the campus community. Students, faculty, and staff have the opportunity to participate in the development and monitoring of bookstore policies and procedures.

Closing the Loop: Providing Adequate Student Facilities

Campus Recreation experienced a 25% increase in student participation at the Einar Neilson Field House in 1 year and increased the number of intramural sports teams sponsored by departments. The increased usage, coupled with National Survey of Student Engagement results that report 56% of freshmen and 52% of seniors exercise often or very often, underscored the importance of having adequate physical facilities. To solicit student opinions on the topic, a survey was conducted by Campus Recreation and ASUU. The results indicate most (76%) students support a student fee increase to fund a new recreation center. Based on these data, Campus Recreation, with strong support from student government and the student body, is seeking to build a campus recreation center to provide both a new recreational and social hub for campus. The plan was recently approved by the Board of Regents and now moves to the Utah legislature.

The University Bookstore is an institutionally owned entity of the University of Utah. It exists to support the educational mission of the University by providing students and members of the campus community with textbooks, educational supplies, computer hardware and software supplies, electronic calculators and devices, merchandise, general books, and other course materials. Students, faculty, and staff have the opportunity to participate on the Bookstore Advisory and Review Committee. The committee is actively involved in the development and monitoring of bookstore policy and procedures and makes recommendations to improve the operation.

3.D.19 When student media exist, the institution provides for a clearly defined and published policy of the institution's relationship to student publications and other media.

The Publications Council, a standing committee of the University appointed by the Board of Trustees, is responsible for the University's published policy regarding the University's relationship to student publications (see Student Affairs Exhibit 3I).

STANDARD 3.E – INTERCOLLEGIATE ATHLETICS

3.E.1 Institutional control is exercised through the governing board's periodic review of its comprehensive statement of philosophy, goals, and objectives for intercollegiate athletics. The program is evaluated regularly and systematically to ensure that it is an integral part of the education of athletes and is in keeping with the educational mission of the institution.

- The University makes major decisions regarding intercollegiate athletics in a collaborative fashion, drawing upon the talents and expertise of various persons depending upon the nature of the matter under consideration. The responsibilities and roles of the various groups or individuals who may participate in making decisions regarding intercollegiate athletics are described below. One or more of these groups or individuals will be involved in every major decision regarding intercollegiate athletics, although the actual steps followed in any given situation depend on the nature of the decision.
- The University's Board of Trustees: The University of Utah Board of Trustees generally establishes broad institutional policies. The role of the University President is to manage the University in accordance with those policies. The role of the Board of Trustees in decisions concerning intercollegiate athletics is primarily a consultative one, although the board must approve certain contracts of a specified duration and capital facilities expenditures above a certain amount. President Young consults with the board both formally and informally on a regular basis. The board meets monthly (11 times per year) to formally and publicly conduct the business of the University. As a member of the administrative cabinet, the athletics director attends the monthly meetings of the board. In addition, the University President and the executive committee of the board (four members) meet monthly to informally discuss current issues and other matters. The athletics director or cognizant vice president is invited to participate in these meetings if the discussion involves business within their respective area of responsibility. Additionally, the board's audit committee meets quarterly to review and provide oversight for the University's financial practices, internal controls, financial management, and standards of conduct. Two members of the Board of Trustees serve on the Athletics Advisory Council (described below).
- University President: President Young meets with the administrative cabinet, which includes the athletics director, twice a month. Additionally, President Young and the athletics director have a standing appointment for a private meeting twice a month. As CEO of the University, President Young is ultimately responsible for the University's athletic program.
- Director of Athletics and Special Assistant to the President: The director of athletics and special assistant to the president (here-

inafter "director of athletics") reports to the President of the University, who in turn reports to the Board of Trustees. The director of athletics discusses significant compliance-related developments with the University President during bimonthly meetings and, at his discretion, immediately collaborates with President Young on any issues with significant or broad-based implications for the University as a whole.

The director of athletics is responsible for the day-to-day operations of all aspects of the Athletics Department, including oversight of the Athletics Department's compliance activities. The director of athletics receives weekly reports from the associate athletics director for compliance and other senior staff members concerning compliance-related developments. In addition, the director of athletics is immediately involved in any compliance-related decisions having significant or broad-based implications for the Department of Athletics or the University as a whole.

- Associate Athletics Director for Compliance and Compliance Coordinator: The associate athletics director for compliance reports directly to both the director of athletics and the associate general counsel in the University's Office of General Counsel. The associate athletics director for compliance discusses important compliance-related issues with the director of athletics during weekly meetings and, at his or her discretion, immediately collaborates with the director of athletics on any issues with department- or University-wide ramifications. In addition, the associate athletics director for compliance discusses important compliance-related issues with the associate general counsel during monthly meetings and, at his or her discretion, immediately collaborates with the associate general counsel on any issues with department-wide or University-wide ramifications. The dual reporting structure ensures that all major compliance-related decisions are reviewed by a body outside of the Department of Athletics early in the decision-making process. A full-time associate director for compliance was hired in 2004.

- Athletics Advisory Council: The Athletics Advisory Council recommends policies to guide the President of the University and athletics director. The council has four standing committees: academic standards, finance, equity and diversity, and compliance. These four committees are responsible for studying issues related to each of these areas and reporting back to the council. Typically, the athletics director may ask the council to investigate a certain issue before a major decision is made, but it is not necessary that he or she do so. Other issues may be brought to the council by University administrators or faculty. Since the council is made up of representatives of the faculty, University Alumni Association, Board of Trustees, and student-athletes, there is ample opportunity for discussion among the various constituencies before a final recommendation is made. The council meets at least quarterly and the subcommittees meet periodically on an as-needed basis. The Athletics Advisory Council submits an annual report to the University President and the University's Academic Senate.

- Faculty Athletics Representative: The faculty athletics representative is appointed by President Young and works with the athletics director or issues related to the Department of Athletics. He or she is also a member of the Athletics Advisory Council and chairs both the Academic Standards Committee and the Compliance Committee. He or she is responsible, together with the Athletics Advisory Council, for periodic review of the academic preparation and performance of student-athletes and making recommendations for program improvement and providing advisory oversight of the University's rules compliance program. Any major decisions regarding these issues are usually made in consultation with the faculty athletics representative.

3.E.2 The goals and objectives of the intercollegiate athletic program, as well as institutional expectations of staff members, are provided in writing to candidates for athletic staff positions. Policies and rules concerning intercollegiate athletics are reviewed, at least annually, by athletics administrators and all head and assistant coaches. The duties and authority of the director of athletics, faculty committee on athletics, and others involved in athletics policy-making and program management are stated explicitly in writing.

The Department of Athletics' mission statement, code of conduct, and other goals and expectations for employees are set forth in a University of Utah Department of Athletics employee handbook, which is distributed to all Department of Athletics employees at the commencement of their employment (Student Affairs Exhibit 3JI). In addition, the Department of Athletics has developed a comprehensive policies and rules education program for its staff and students as described below.

- *Compliance Policies and Procedures Manual:* The University has conducted a thorough review of its compliance operations and developed a comprehensive *Compliance Policies and Procedures Manual*. This manual is designed to educate coaches and administrators on relevant National Collegiate Athletics Association (NCAA) legislation and University compliance procedures. The *Compliance Policies and Procedures Manual* is available for inspection as Student Affairs Exhibit 3K.
- Rules Education: Beginning with the 2002-03 academic year, the University has implemented a comprehensive rules education program for all parties associated with the University and its athletics programs. Most significantly, the Compliance Office has developed a rules education program that presently offers 16 annual education sessions for coaches and administrative staff. The director of athletics has mandated that all coaches and management-level administrative staff members must attend at least eight rules education sessions per academic year. All other Department of Athletics staff members are required to attend at least three rules education sessions per academic year. In addition, all University student-athletes are educated on essential compliance information during an introductory compliance session prior to each academic year. As noted above, any additional student-athletes (e.g., mid-year enrollees and transfers) are educated on this information during one-on-one sessions.

The Compliance Office has developed a number of additional educational resources for coaches, administrative staff, and student-athletes. The Department of Athletics Website now contains a section providing access to vital compliance information for coaches, student-athletes, prospective student-athletes, representatives of athletics interests, and prospective agents. In addition, coaches are given user-friendly packets containing necessary information in the areas of recruiting and camps/clinics. The Compliance Office distributes a monthly newsletter that contains supplementary information regarding significant and timely compliance issues. The monthly newsletters and rules education program handouts are available in Student Affairs Exhibit 3L.

The director of athletics, faculty athletics representative, and director of compliance all have responsibility for creating and implementing policy and compliance programs. Each individual has a written job description. These job descriptions are available for inspection. In addition, the University's Athletics Advisory Counsel is governed by a written charter.

3.E.3 Admission requirements and procedures, academic standards and degree requirements, and financial aid awards for student athletics are vested in the same institutional agencies that handle these matters for all students.

Student-athlete applicants are subject to the same admission policies and procedures as the general student body. There is no special consideration given to student-athletes in the admissions process. The only accommodation made during the admissions process is the extra time committed to evaluating the student-athlete applications and reviewing all subsequent decisions, ensuring that each applicant meets the established admission criteria. The Department of Athletics *University Student-Athlete Handbook* discusses academic eligibility from the student-athlete perspective (Student Affairs Exhibit 3M).

According to the *General Catalog* and University Policy 9-6, all undergraduate students are required to maintain a cumulative grade point average (GPA) of at least 2.0. Transfer students' cumulative GPA is computed only on the basis of University of Utah course work. A student who fails to maintain a cumulative GPA of at least 2.0 is placed on academic probation. Students whose most recent term and cumulative GPA are below 2.0 have an advising hold placed on their future registration. A student whose term GPA is below 2.0 for three terms while the cumulative grade point average has been continuously below 2.0 is subject to suspension for two terms.

According to the *University Student-Athlete Handbook*, student-athletes must follow the University policy grade point average requirements as mentioned above. In addition, the Mountain West Athletic Conference requires a 2.0 cumulative institutional grade point average after a student's first year in residency at the University.

The University's Office of Financial Aid and Scholarships administers scholarships for student-athletes. Student-athletes may receive institutional financial aid based on athletics ability, outside financial aid for which athletics participation is a major criterion, and certain education expenses, up to the value of a full grant-in-aid, plus any other financial aid unrelated to athletics ability up to cost of attendance. The value of a "full grant-in-aid" and "cost of attendance" are set by the Office of Financial Aid and Scholarships based on federal guidelines. Student-athlete appeals of financial aid determinations are made to the University's director of Financial Aid and Scholarships and hearings are held before the University's Office of Financial Aid and Scholarships Appeals Committee.

3.E.4 Athletic budget development is systematic; funds raised for and expended on athletics by alumni, foundations, and other groups shall be subject to the approval of the administration and be accounted for through the institution's generally accepted practices of documentation and audit.

The Department of Athletics budget is developed and approved in the same manner as other budgets on campus. The budget proposal is submitted to the University President's office each year. A budget meeting is then set up with President Young and the chief budget officer of the University. The Department of Athletics must receive final approval from the University President's office before starting the new fiscal year. The director of athletics and the chief budget officer meet twice a year to discuss the budget. All funding for the Department of Athletics is deposited through regular University channels. There is no outside foundation or fundraising group for athletics at the University. All income from fundraising is deposited through the University and is receipted in the same manner as all other donations received on campus.

3.E.5 The institution demonstrates its commitment to fair and equitable treatment

of both male and female athletes in providing opportunities for participation, financial aid, student-support services, equipment, and access to facilities.

The University is committed to gender equity in its athletics programs. The University's Athletics Advisory Council has created an equity and diversity subcommittee, which is responsible for studying gender-based issues concerning student-athletes, coaches, and staff. The subcommittee makes annual reports and recommendations to the Athletics Advisory Council and Department of Athletics administration for possible improvements or areas of concern. The equity and diversity subcommittee created a gender equity plan for 2003-2008, which is available for inspection in Student Affairs Exhibit 3N. This 5-year plan details information about the goals and expectations of gender equity and the parties responsible for reporting this progress to the University. The equity and diversity subcommittee continues to consider gender equity issues and to report on an annual basis to the Athletics Advisory Committee. Annual reports of the subcommittee are available for inspection.

Each year, the Department of Athletics completes a report under the Equity in Athletics Disclosure Act (EADA). Information in the EADA report includes athletically-related student aid, coaches' salaries, revenues by source, expenses by object of expenditure, athletics participation, head coaches' assignments, operating expenses, and recruiting expenditures for both men's and women's team sports. The EADA report is reviewed by the athletic director, associate athletic director for internal operations, and the associate athletic director for student support services. EADA reports are available Student Affairs Exhibit O.

3.E.6 The institution publishes its policy concerning the scheduling of intercollegiate practices and competition for both men and women that avoids conflicts with the instructional calendar, particularly during end-of-term examinations.

The University is committed to NCAA and Mountain West Athletic Conference rules concerning the scheduling of athletic events. The University abides by NCAA Bylaw 17.01.1, which requires the University *"to limit its organized practice activities, the length of playing seasons and the number of its regular-season contests and/or dates or competition in all sports, as well as the extent of its participation in noncollegiate-sponsored athletics activities, to minimize interference with the academic programs of its student-athletes."* In keeping with this commitment, only student-athletes who are eligible for intercollegiate competition may travel to away contests, subject to Mountain West Athletic Conference travel party limitations. Student-athletes are expected to attend classes, unless traveling for athletics competition. Because some athletics competitions must be scheduled during the week, student-athletes will miss classes for competition but should not miss classes for conditioning or practice.

To avoid missed class time, especially during the most critical times of the academic year, the University has followed certain policies and practices concerning the scheduling of competitive events. Those policies and practices are designed to minimize missed class time and to avoid the scheduling of events during crucial times of the year (e.g., the first 3 days of class, finals week, the week before finals). The University scheduling policies and guidelines are available in Student Affairs Exhibit P.

In the event that student-athletes must miss class for athletic competitions, the athletics academic advisors provide letters to course instructors informing them of travel dates and requesting assistance for student-athletes in keeping up with and completing required course work. Advisors will write letters only for official NCAA competitions. These letters cite University policy, which excuses these absences due to University business. It is the responsibility of the student-athlete to deliver these letters and inform instructors of classes or assignments missed due to competition. The University relies upon the academic advisors and the foregoing process to monitor and control missed class time.

Student-athletes are provided annually with a copy of the University of Utah *Student-Athlete Handbook* (Student Affairs Exhibit 3M). The handbook describes some of the University's policies and procedures regarding the scheduling of competitions and missed classes. The handbook describes the process for obtaining excused absences from instructors. The handbook also advises student-athletes that they must communicate in advance with their athletics academic advisors regarding travel, especially during semesters with heavy travel schedules.

Summary

Commendations

- The Division of Student Affairs has experienced a number of major changes since 1996. In March 1997, after 18 months in office, the vice president left, followed by a period of 2½ years with an interim vice president. Barbara Snyder, an experienced vice president with 13 years' experience at her former institution, was hired in July 1999. This hire coincided with the change in reporting structure, with the vice president now reporting to the Senior Vice President of Academic Affairs. This decision was supported by the Vice President for Student Affairs as an effective method to ensure ongoing collaboration with academic units and a greater integration of student affairs into the learning mission of the University. Outstanding personnel, changes in structure at the leadership level, and an integrated ongoing assessment process have resulted in a stronger division that provides cohesive, responsive services to students.
- With the addition of a director for student affairs assessment, evaluation and research and ongoing training of student affairs staff in this area, the Division of Student Affairs is now able to ascertain the effectiveness of offices and programs and the resulting learning that occurs. During the 2004-2005 academic year, over 100 assessments were conducted within student affairs, investigating satisfaction, needs, climate, learning outcomes and others standards of student, faculty, and staff reactions. The results of these assessments have been utilized to provide information about necessary changes and data for implementing new programs. Table 3.4 compares results from the 2000 and 2004 National Surveys of Student Engagement given to freshman and senior students. These questions address areas either overseen by or contributing to student affairs programs.
- Recognizing that our students are best served when the learning environment is seamless, student affairs has spent the last 5 years developing and institutionalizing strong relationships with academic affairs. Two departments, Orientation and Leadership Development and the International Center, now jointly report to both the Senior Associate Vice President for Undergraduate Studies and the Assistant Vice President for Student Development. This has resulted in the two divisions working in tandem to provide unified directions for these departments and increasing student participation. Student affairs has greater representation on academic affairs committees to represent student needs and interests. Faculty are routinely asked to serve on student affairs committees and, often, to chair director searches. In 2006, student affairs remodeled a home in the residential area for the LEAP freshman program that

is maintained by student affairs, with academic programming in the house overseen by academic affairs. These ongoing significant interactions have resulted in better service for students.

Table 3.4: Selected Results from the 2000/2004 National Survey of Student Engagement (NSSE) Illustrating Student Affairs Impact

Question: In your experience at this institution during the current school year, about how often have you done each of the following? (percentages of students responding "Often" or "Very Often")

	Freshmen		Seniors	
	2000	2004	2000	2004
Tutored or taught other students	2%	12%	13%	20%
Participated in a community-based project as part of a regular class	6%	8%	13%	21%
Had a serious conversation with students who are different from you in terms of their religious beliefs, political opinions, or personal values.	39%	60%	72%	67%

Question: In thinking about your undergraduate program as a whole, which of the following have you done or plan to do before you graduate from this institution? (percentages of students responding "Yes")

	Freshmen		Seniors	
	2000	2004	2000	2004
Community service or volunteer work	63%	72%	64%	72%
Study abroad	31%	38%	10%	20%

Question: Thinking about your experience at this institution during the current school year, to what extent does your college emphasize each of the following? (percentages of students responding "Quite a bit" or "Very much")

	Freshmen		Seniors	
	2000	2004	2000	2004
Encouraging contact among students from different economic, social, racial, or ethnic backgrounds	26%	46%	27%	35%
Providing the support you need to thrive socially	25%	35%	17%	28%

- Serving as the host site for the 2002 Winter Olympic Games resulted in a dramatic change in facilities for housing students as well as accommodations for guests and conferences. The facilities and operations staff took over responsibility for over 1 million square feet of new housing space and 121,795 square feet of renovated historic building space, which served as the Olympic Village in February and March 2002. The occupancy rate has soared from 85% in fall 2003 to 95% in fall 2005. Student assessment in these facilities reflects satisfaction with both the facilities and the learning environment.
- Technology has created profound changes, particularly in the area of enrollment management. The Offices of Admissions and Financial Aid and Scholarships have developed their Websites to the point where the majority of students are completing their applications and checking their application status online. All registration occurs online. Across student affairs, maintenance of student-friendly, informative and useful Websites has become a high priority. All offices maintain and update their Website on a regular basis. A "Virtual Advisor" program has given students the ability to ask questions about admissions on a 24/7 basis. Due to the success of this program, student affairs is now piloting a similar program for all student affairs offices to respond to student questions ranging from financial aid to student health.

Challenges

- As noted in 3.A.2, The Division of Student Affairs has a very qualified staff. Of the professional staff, 46% have graduate degrees, with many currently in graduate programs. They are professionally active in state, regional, and national organizations as officers, presenters, or published scholars. Despite this, salaries, for the most part, are lower than the national average and, in many cases, lower than comparable positions in other divisions on campus. In a 2006 survey of current and former enrollment management staff, salary was cited as a major factor for dissatisfaction of the former and leaving the position for the latter. To help address this problem, all directors have received reports from human resources that identify each staff position salary and the average University salary for comparable positions. In the past 2 years, equity increases have been requested during the budget cycle and allotted to the staff determined to be the most underpaid. In addition, directors have been given discretion to propose changes to their staff salary structure as positions become vacant to better reflect salary equity. Finally, equity increases will be requested each budget cycle until equity is reached both within the division and when compared across the University.

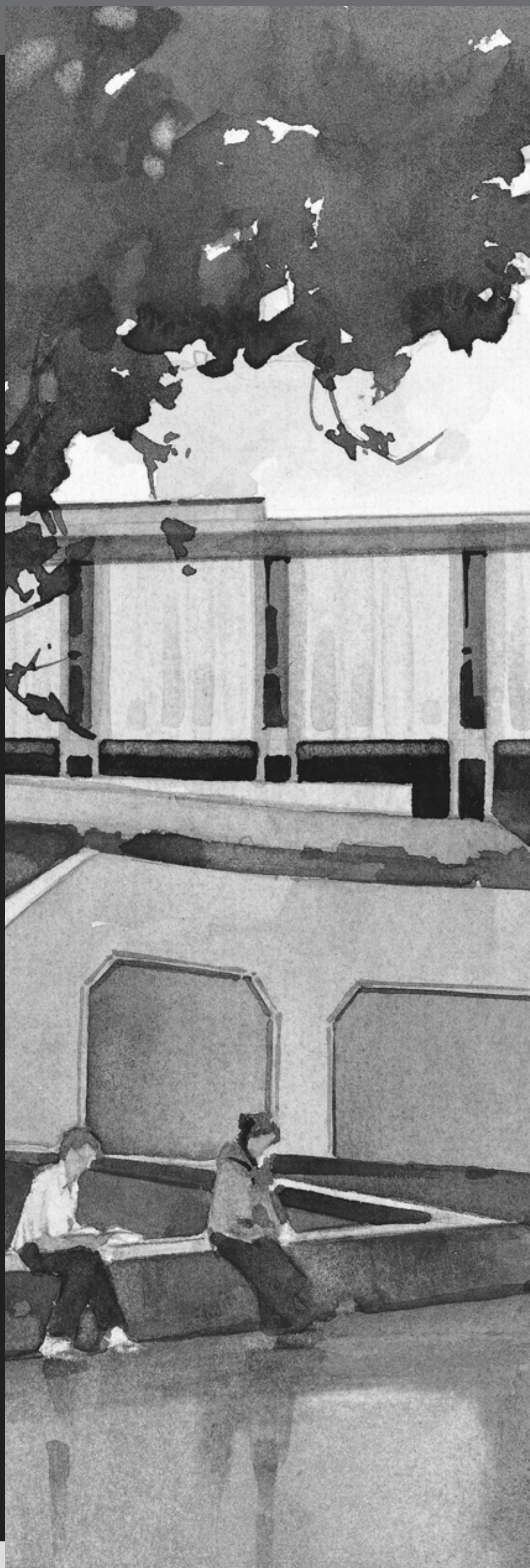
- Some facilities that house student affairs units are excellent, but several departments are less fortunate. The Olpin Union was built 50 years ago and needs remodeling. Campus recreation facilities are spread throughout campus and, in the case of the field house, are antiquated. There is no central hub for students to socialize and recreate. The Center for Disability Services, located in the Olpin Union, is over-crowded, serving a student population that has increased 11% in the last 3 years. An issue yet to be resolved is the inadequate and inconveniently located space for Student Health Services and Educational Opportunity Programs. Addressing these issues involves several steps. First, the Olpin Union director has developed a 5-year plan to remodel and renovate the building, with phase one completed in 2005. The director is working with administrative services to ensure that the money required to make the facility more user-friendly is located. A director of development has also been hired for this purpose. Second, Campus Recreation, with strong support from both student government and the student body, has developed a plan for a recreation center that has been approved by the Board of Trustees. Although bonding failed to pass in the 2006 Utah legislature, this issue will be a top priority during the 2007 session. A third step involves locating alternative or expanded space for the Center for Disability Services. To better meet the needs of students, served by this unit, physical space is being proposed and is included in the plans for remodeling the Olpin Union. A fourth step, to locate space for Educational Opportunity Programs, has yet to be addressed. Although their current space in the Annex is on the edge of campus and does not allow for program growth (for example, applying for a third TRIO grant), there is space for holding classes and providing tutoring. Parking is also more available in that location than in most sections of campus. For this reason, additional space is currently being investigated both in their current location and at a more central location. A fifth step involves Student Health Services, currently located in the basement of the Madsen Clinic at the edge of campus. For the past 6 years, discussions have taken place in regard to a central health facility that would serve both students and employees. However, this issue has been less of a priority than have other University projects. Consequently, Student Health Services has determined to adapt their current space to their needs over the next 5 years and will start renovations during summer 2006.

Funds set aside for the past 10 years will allow these changes to take place.

- Communication within student affairs offices, among student affairs offices, and between some student affairs offices and students has been identified as an area for improvement. The first two areas (within offices and between offices), as measured in both a 2005 student affairs staff survey and follow-up focus groups, centered on over-use of e-mail as a central means of communication, directors not sharing information with staff, and a lack of knowledge of other student affairs offices. Student surveys, although generally rating communication between student affairs and themselves as positive, identified concerns with reaching a "live" person when calling with questions, stating that, for example, in financial aid or admissions, students often received a busy signal or no answer. We are addressing these challenges in several ways. With regard to communication within student affairs, several solutions have been or are being implemented. The student affairs professional development committee holds new employee orientations three times a year to facilitate knowledge of other offices' functions and to introduce personnel from those offices. The committee is also working to increase interaction among staff members, such as joint staff meetings, or "tours" of other offices. Network support has introduced Share Point, an interactive technology that will allow various student affairs groups to share and update information continuously. Results of staff assessments and focus groups are shared with the directors so that they understand their staff's need for information and can share appropriately.

  With regard to student telephone communication, offices with significant telephone interaction with students are investigating methods for decreasing "wait" time. In addition, improvements in technology may resolve some of these issues as more students seek answers online. The Office of Admissions implemented a "Virtual Advisor" in fall 2005 that is available to students on a continuous basis online. The student can type in any question and key words will trigger an answer. The Division of Student Affairs has also developed a module for all other departments in the division, and this version is being piloted during the summer of 2006, going live for students before start of fall term. Following a retreat in fall 2005, which a student panel discussed the need to find alternative methods for communicating with students beyond mail, e-mail and phone, the retiring registrar was hired as a consultant to investigate technological options available. A report was presented to the student affairs leadership team in May 2006. Discussion of these options will continue through the summer of 2006.

STANDARD 4
FACULTY



TOGETHER WE REACH.

STANDARD 4.A – FACULTY SELECTION, EVALUATION, ROLES, WELFARE, AND DEVELOPMENT

4.A.1. The institution employs professionally qualified faculty with primary commitment to the institution and representative of each field or program in which it offers major work.

The University criteria for faculty appointments emphasize the University's commitment to superior intellectual attainment and responsible faculty conduct. The standards for retention, promotion, and tenure insist "*upon the highest attainable standards for faculty members as essential for the maintenance of the quality of the University as an institution dedicated to the discovery as well as the assimilation and transmission of knowledge*" (*Policies and Procedures Manual* 9-5.1 A.2.1.b.).

The appointment process is thorough. Departments initiate the appointment process so they can ensure the involvement of faculty who are representative of each field. Recommendations for appointments are submitted successively for evaluation and recommendation to the college dean and to the relevant senior vice president. If the appointment carries tenure, it is also reviewed by faculty committees at the college and University levels. All full-time faculty appointments require submission of a vita and letters of recommendation. A terminal degree in the appropriate field is required in almost all cases for tenured or tenure-track positions. Such a process provides for a thorough review of the candidate's qualifications by representatives of each field or program and representatives of the broader institution.

University statistics from fall 2005 reveal that over 70% of student credit hours are taught by tenured/tenure-track or otherwise full-time faculty members who therefore treat the University as their prime employment commitment. University policy states: "*All personnel of the University holding full-time positions shall give full services to the work of the University during scheduled work periods. Any non-University employment must not interfere with the discharge of the person's full-time service obligations to the University. It is expected that all full-time University staff members will treat the University as their prime employment activity*" (*Policies and Procedures Manual* 2-26, IV.A.1).

Additionally, a new conflict of interest policy was adopted in 2004 after extensive discussions among faculty, administrators, and research staff (*Policies and Procedures Manual* 2-30). That policy provides guidance regarding how the University identifies, evaluates, and manages (or prohibits when appropriate) conflicts of interests that have the potential to impair the judgment of an individual or that violate the University's central mission.

4.A.2. Faculty participate in academic planning, curriculum development and review, academic advising, and institutional governance.

College councils are organized within each college by the faculty. Each college council or its curriculum committee formulates policies and exercises "primary authority" to make decisions relating to college and department affairs including the development of curriculum and related academic programs (*Policies and Procedures Manual* 9-4 Section 2.A and C). In the person of their department chair, faculty are involved in the development of both long-term strategic goals for their respective colleges and the annual SMART goals or mission based management planning activities (on lower and upper campus, respectively).

In addition, various committees of the Academic Senate participate in academic planning. For example, the Academic Senate's Faculty Budget and Planning Committee recently worked closely with senior administrators to analyze the University's academic goals in an extensive strategic planning process for the University. Academic Senate President Robert Flores led the effort during 2005-06 to review and revise the University's mission statement.

Besides the role of college councils (see above), the chairpersons of the various college curriculum committees constitute the University Curriculum Policy Review Board, which has the responsibility to review curriculum policies and procedures, coordinate curriculum planning and cross-college consultations, and promulgate modifications in guidelines for processing curricular proposals (*Policies and Procedures Manual* 9-4 Section 1.B.3).

The Graduate and Undergraduate Councils are composed of faculty members from all schools and colleges offering graduate or undergraduate degrees, respectively. The Graduate Council reviews all departments and programs that award graduate and undergraduate degrees every 7 years. Proposals for new degrees, minors, and certificates must be approved by the relevant council. Both program reviews and new degree proposals then go to the executive committee of the Academic Senate. Three times in the past 5 years the executive committee has referred a review back to the Graduate Council for additional response to problems identified in the review.

To provide responsive and coherent advising to beginning students, the University consolidates all beginning undergraduate student advising with trained, professional advisors through University College. The Senior Associate Vice President for Academic Affairs, who is responsible for University College, reports to the Senior Vice President for Academic Affairs.

Once a major is declared, however, advising is offered through the pertinent department. About 40% of department and college advisors are faculty members, and the rest are trained staff members. Advising for graduate students occurs at the department level through faculty supervisory committees that are required for Ph.D. and most master's programs. Respondents to a faculty survey in spring 2005 reported that they averaged just under 4 hours per week directly advising students.

The University faculty has the authority to legislate on matters of educational policy, to enact rules and regulations necessary to enforce such policies, and to decide upon curriculum and new courses of study. Moreover, the faculty has a right to a meaningful role in University governance, including primary responsibility for course content and materials, degree requirements and curriculum, and a right to participate in decisions relating to the general academic operations of the University including budget decisions and administrative appointments (*Policies and Procedures Manual* 8-5).

The legislative power is normally exercised by the faculty through its representatives in the Academic Senate and the college or area councils. The membership of the Academic Senate includes 15 students, 2 deans, and 84 faculty members. In addition, the Senate's Personnel and Elections Committee recruits faculty members to serve on 51 University committees. Over 80% of the respondents to a spring 2005 faculty survey felt that the Academic Senate "*genuinely represents faculty beliefs*."

In the past several years, the faculty has been extensively involved in the search process for the University President, in substantive policy revisions of the retention, promotion, and tenure review process, and in the design and implementation of a new consolidated faculty grievance/appeals hearing process. Faculty played key roles in the analysis and development of the University's most recent strategic plan, as well as the development of a number of new degrees and interdisciplinary institutes and programs. The Academic Senate considered at great length a new proposed policy providing for "content" accommodations for students. The policy was approved only after rigorous protections for faculty academic freedom/pedagogical discretion were included. Official faculty groups have been busy, but rank and file members are divided on whether the faculty's role in University governance is adequate. In a spring 2005 faculty survey, 58% of faculty agreed and 42% disagreed that "*faculty are sufficiently involved in campus decision making*." Further diagnostic work is needed to determine the locus of the dissatisfaction.

4.A.3. Faculty workloads reflect the mission and goals of the institution and the talents and competencies of the faculty, allowing sufficient time for professional growth and renewal.

Most faculty are hired on a 9-month arrangement that allows for time in the summer months to pursue research, scholarship, or other creative interests. The University has a sabbatical policy that authorizes faculty to go on a sabbatical leave, within college-level budget constraints, every 7 years.

We expect department chairs and deans to ensure that workloads, leaves, and committee assignments (University service) are done fairly and in a manner that supports professional growth. There is no hard and fast rule governing faculty teaching loads. The typical teaching load is one and one-half to two courses per semester plus theses, dissertations, and other independent study arrangements. In some colleges, business is an example, the typical course load is a two-one arrangement for research-active faculty. In other colleges, fine arts is an example, the course load in some performance-oriented departments such as music may exceed a two-two arrangement. In many departments, new faculty are given a reduced teaching load for at least one term. Across the University, the overall average teaching load per week is 10 contact hours and just over 9 course credit hours (including all varieties of independent study) per semester. Both figures meet the standard set by the governing board (Utah State Board of Board of Regents) for research-extensive universities.

We compare our faculty workloads (student credit hours and course sections) to other research-extensive universities across the country through participation in the Delaware Study of Instructional Costs and Productivity. The comparison is on a program-by-program basis. Generally we find that our workloads, measured by course sections per faculty or student credit hours per faculty, are similar to workloads elsewhere.

4.A.4. Faculty salaries and benefits are adequate to attract and retain a competent faculty and are consistent with the mission and goals of the institution. Policies on salaries and benefits are clearly stated, widely available, and equitably administered.

The University does not employ a salary schedule for faculty. Extant salaries in the national marketplace have considerable influence on the salaries we pay. Success at the college level in securing extramural funding for research and/or other external support (endowed chairs) also adds to the differences in pay rates across campus. As a result, faculty salaries vary greatly by discipline, both in absolute dollar terms and with respect to their relative level when compared to salaries at other institutions (see Appendix 4.1). On occasion we have targeted for special funding those areas where salaries are low in dollar terms and low compared to peers.

Policies governing compensation can be found in the University's *Policies and Procedures Manual* (see *http://www.admin.utah.edu/ppmanual/2-tbl.html*). By policy, department chairs and deans are obligated to take merit into account when adjusting salaries during the annual budget cycle. They may also be asked to correct inequities related to gender or ethnicity, at the prompting of the Office of Equal Opportunity. The University President's budget letter, which initiates the annual, internal budget cycle, spells out each year's compensation strategy. The latter normally includes some specification of centrally available resources and maximum percentage increases. The maximums can be hard, i.e.,

Closing the Loop: Balancing Faculty Workloads

From time to time, the Office of Budget and Institutional Analysis identifies programs that are too far out of line with the national norms, developed through the Delaware Study, for student credit hours (SCH) per faculty. In our budget allocation model for academic departments, funding is partially a function of changes in SCH production. A department that increases its SCH production will receive additional funding, on a formulaic basis, from the central administration, and vice versa. At one point, the Senior Vice President for Academic Affairs required that the Department of Mining Engineering bring its per-faculty SCH numbers up before it became eligible for SCH growth funding, because it was operating too far below national norms. The department has since experienced modest growth in SCH and is now participating in the SCH component of the budget allocation process. In another case, the Department of Sociology was held harmless while decreasing its per-faculty SCH. The department was operating well above national norms, leaving too little room for scholarly activities.

they cannot be exceeded, or soft, i.e., they may be exceeded but only by written request and explicit permission by the relevant vice president and President Young. The strategy can be complicated because salaries are paid from three main revenue sources (state appropriated funds, research grants and contracts, and clinical activities) that may not be marching in step in any given year.

In 2005-06, for the University as a whole, excluding the School of Medicine, salaries were 104.6% of the average for all public doctoral institutions, and 92.7% of average for comparable public research universities (see exhibit 7.22). With respect to other research-extensive universities, the gap was greatest for professors (90.5% of average) and smallest for assistant professors (96.9%). These relative relationships have not changed appreciably in the last 10 years.

The University provides a benefits package that is richer than average according to data compiled by the American Association of University Professors (see Appendix 4.2). Our compensation (salary plus benefits) at the assistant professor rank is competitive in most fields. Measured against the average for all public doctoral institutions, compensation for assistant professors was 3.7% above average in 2004-05.

Although we do not keep exact statistics, anecdotal information suggests that we succeed more often than not when we make counteroffers to retain faculty being recruited by other universities. Our turnover rate among regular faculty (excluding the School of Medicine) for all reasons including retirement averages about 5% per year, which we view as acceptable. That said, we remain concerned about our ability to retain our most sought-after faculty. A third of the 343 faculty who responded to a spring 2005 survey indicated that they had received a "firm" job offer in the past 2 years. We continue to press hard to obtain the additional funds (through state appropriations and tuition) needed for counteroffers as well as for preventive salary raises designed to lower the odds that a faculty member will begin looking for employment elsewhere. Through a new faculty exit survey, we hope to collect systematic data about why and to whom we lose faculty.

4.A.5. The institution provides for regular and systematic evaluation of faculty performance in order to ensure teaching effectiveness and the fulfillment of instructional and other faculty responsibilities. The institution's policies, regulations, and procedures provide for the evaluation of all faculty on a continuing basis consistent with Policy 4.1 Faculty Evaluation.

Annually during their 7-year probationary period and again at the time of consideration for promotion to the rank of "full" professor, faculty are evaluated according to the criteria and procedures laid out in *Policies and Procedures Manual* 9-5 Section 2. In addition, tenured faculty are subject to annual merit salary evaluations and a more complete review every 5 years, as defined in *Policies and Procedures Manual* 8-3 Section 5.C.

Collegial and administrative participation occurs in all phases of making and implementing faculty evaluations. University policy identifies (1) teaching, (2) research and other creative activity, and (3) University, professional, and public service as the criteria for faculty evaluation, but delegates to departments the making of detailed criteria and specific standards. Thus, experts in the substantive fields define excellence within them and make the initial evaluation of candidates under those criteria and standards.

Departmental or college-level criteria for retention, promotion, and tenure pass through administrative review and then go for final approval to a University-level faculty committee, the Retention, Promotion, and Tenure Standards Committee. The University policy that governs review procedures in detail, Policy 9-5.1, was just revised in 2004-05 following a several-year review by a task force made up of a faculty representative from each college and several administrators. During 2005-06, the Retention, Promotion, and Tenure Standards Committee and relevant administrators began reviewing many revisions to departmental policies made in response to the changes in University policy.

Participation in individual retention, promotion, and tenure reviews is very broad, including students, colleagues, and administrators. By the time a typical file reaches the University President, it includes recommendations from the department Student Advisory Committee, the department faculty advisory committee, the department chair, the college faculty advisory committee, the college dean, and the Senior Vice President for Academic Affairs or Health Sciences. If these reviewers do not all agree, the file also includes a recommendation by the University Promotion and Tenure Advisory Committee. In a new provision in the revisions just passed, the policy now provides that "*If the senior vice president determines that the file is incomplete or unclear, he/she may return the file to the department with a request to clarify specific matters, materials, and/or issues.*" In at least three cases in 2005, the relevant senior vice president requested and reviewed extensive raw course evaluation data in making his recommendation to the President of the University.

Since the University's last accreditation review in 1996, procedures for ensuring that reviews of tenured faculty are occurring regularly have been instituted. Faculty who are reviewed for promotion, who enter phased retirement agreements, or who have substantial administrative appointments are exempted. In May 2006 we clarified with the deans the type and extent of administrative appointment that leads to exemption. Procedures for posttenure reviews are regulated in less detail than those for retention, tenure, and promotion, but the University does require procedures to be approved by the relevant dean and vice president. Minimally, the reviews include involvement of faculty colleagues, the department chair, and the dean. Each summer every dean reports to the relevant senior vice president the names of the tenured faculty members reviewed and a summary of the review.

Our review shows that all units are in substantial compliance with the policy on posttenure reviews (see Appendix 4.3). The number of eligible faculty is calculated by subtracting from the total list of current tenured faculty those who were not expected to have reviews during this 5-year period for one of the following reasons: they became tenured during this period; they had a formal review for promotion to professor or distinguished professor; they began a phased retirement; or they had an administrative appointment that consumed the majority of their time. Those colleges that are somewhat lower in their percentage of reviews completed have scheduled the overdue reviews for 2005-06 in almost every case.

Because there is no requirement or tradition at the University of Utah of across-the-board, cost-of-living raises, faculty members receive annual merit reviews for salary purposes in addition to probationary and posttenure reviews. Procedures for determining such merit raises are not centrally governed or reported. Collegial input into administrative decisions likely varies considerably around campus.

Multiple indices of performance are used in both formal reviews for retention, promotion, and tenure and posttenure reviews, although again procedures for the latter vary more than for the former as the following comparisons show.

To assess teaching performance, all retention, promotion, and tenure reviews include reports by departmental Student Advisory Committees (SACs), that review standardized course evaluations and also frequently conduct supplemental surveys or do in-class observations. Faculty peers at a minimum analyze course evaluations directly and review the SAC reports. In some units they also review syllabi and do their own in-class observations. Administrators normally assess the reports of the SAC, faculty, and chair, but they have access to raw evaluation data if requested. Posttenure reviews do not consistently include SAC reports, but peers and chairs review student course evaluations.

To assess research and creative activity, letters from external reviewers who are experts in the candidate's field are required to "*provide an objective assessment of the quality of the candidate's work and its impact on the academic and/or professional community at large*" for promotion and tenure reviews (*Policies and Procedures Manual* 9-5.1 Section D.9.). If such letters are not used in mid-probationary reviews, the department itself must still provide "*a substantive assessment of the candidate's research or other creative activity*" (*Policies and Procedures Manual* 9-5.1 Section B.2.) Posttenure reviews rely largely on assessment by department peers, but some colleges also use external letters. Colleges heavily involved in securing external funding include reports of such activity in all kinds of reviews.

Evaluation of service typically occurs but receives the least emphasis in reviews of all kinds. Activity reports and vitae normally list service activities to the institution, the discipline, and the community. Faculty members who have done extensive service in some forum are welcome to and often do submit letters from individuals in a position to comment on the extent and quality of that service. Occasionally, letters from external reviewers comment on service to the discipline rendered at the national level.

Posttenure reviews, to which most faculty are subject every 5 years (see Appendix 4.3), show that the overwhelming majority of faculty are performing very well. For those rare exceptions the policy requires that "*strategies for improvement of his/her performance*" be developed. We are currently reviewing whether all departments and colleges have requirements for improvement plans. We do know that a few faculty members whose research productivity has stalled have assumed increased teaching loads, and one such faculty member won a collegewide teaching award since assuming the increased load. Another faculty member's workload was shifted in the direction of more research and less teaching responsibility. Posttenure reviews have also helped some long-time associate professors qualify for consideration for promotion to professor, whereas other faculty members have been encouraged to retire.

4.A.6. The institution defines an orderly process for the recruitment and appointment of full-time faculty. Institutional personnel policies and procedures are published and made available to faculty.

The policy describing the appointment process appears in *Policies and Procedures Manual* 9-5. It defines who is eligible to vote on different levels of appointment and the succession of reviews required for an appointment. *Policies and Procedures Manual* 9-2 Section 4.A. defines the permissible role of auxiliary faculty in the appointment process. These policies and all other official personnel policies appear in the *Policies and Procedures Manual* on a Website available to the faculty and to the public at large.

In addition, the associate vice presidents responsible for faculty recruitment and appointment maintain Websites with additional information. The Associate Vice President for Diversity, who supervises hiring of tenure-track faculty on the main campus, provides an extensive set of guidelines for the search and appointment process. The Website of the Associate Vice President for Faculty, who coordinates the formal appointments of all faculty, describes the various categories of auxiliary faculty positions. Both Websites provide necessary forms, and the offices jointly provide training to departments on proper hiring procedures. The Faculty Administration Office of the School of Medicine provides similar guidance through its Website.

The Associate Vice President for Faculty is in the process of developing a new, comprehensive, online faculty handbook, which will provide easily available and clearly arranged information for all faculty on a wide range of campus policies and faculty resources. The project should be completed before the accreditation visit. Specifically with respect to promotion and tenure guidelines, the associate vice presidents offer annual workshops on the process separately for untenured faculty and for department and college administrators.

One measure that suggests the effectiveness of these policies is the results of a spring 2005 survey in which 79% of faculty agreed that "*criteria for promotion and tenure decisions are clear*."

4.A.7. The institution fosters and protects academic freedom for faculty.

The University through its policies and practices remains committed to maintaining an atmosphere in which intellectual freedom and independence exists. The Academic Freedom and Tenure Committee of the faculty is charged with reviewing any complaints or concerns pertaining to academic freedom. The cases that come to the committee, however, generally involve disputes over who has the right to make certain decisions about work assignments and resource allocations (e.g., sabbaticals) and employment terms/conditions (e.g., rank) rather than classic academic freedom complaints alleging attempted influence over the content of one's teaching or research.

It has been several years since any complaint of the latter sort has come to the committee. Almost 77% of the faculty agreed with the statement on the spring 2005 survey that "*there is respect for expression of diverse values and beliefs at the U*."

The strength of the University's commitment to academic freedom was challenged and confirmed in the past year as the faculty responded to the University's settlement of a lawsuit brought by an Actor Training Program student who objected to the University's response to her concerns about saying certain words in scripts. The settlement required the University to adopt a University-wide policy to respond to students' requests for accommodations based on sincerely-held beliefs. A committee was formed to draft such a policy, chaired by a tenured faculty member, and composed of faculty, students, and community members. The policy was drafted after more than 20 meetings were held across campus. The draft policy was widely circulated and thereafter debated extensively in three consecutive Academic Senate meetings. The revised policy that emerged from that debate is grounded in the University community's values of academic freedom and integrity as well as a respect for diversity, pluralism, and individual beliefs. Content accommodations, i.e., modifications of otherwise applicable reading, writing, viewing, or performing requirements, are subject to the discretion of the instructor who may deny requests as long as the subject course requirement has a reasonable relationship to a legitimate pedagogical goal and the instructor gives similar consideration to all accommodation requests based on sincerely-held beliefs.

Standard 4.A.8. Part-time and adjunct faculty are qualified by academic background, degree(s), and/or professional experience to carry out their teaching assignment and/or other prescribed duties and responsibilities in accord with the mission and goals of the institution.

Appointment procedures for part-time and adjunct faculty require an academic vita and at least two letters of recommendation. Departmental faculty vote on the appointment of adjunct faculty, and that recommendation must be approved by the department chair and dean. Appointments for the nonfaculty instructional position of "associate instructor" also require appropriate credentials. University policy A.1. states: "*Normally, individuals selected for these positions will possess substantial advanced preparation and/or experience in the academic disciplines relevant to the departments in which they are employed*" (*Policies and Procedures Manual* 9-5.6). These appointments are normally approved by the relevant department chair and dean.

Courses taught by all such part-time and adjunct faculty and associate instructors are included in the uniform course evaluation system. These evaluations provide data used for the annual reappointment of these positions to ensure that the individuals in them are providing high-quality instruction. On average, for the University as a whole, nonregular faculty receive course and instructor evaluation scores that are as good as those received by regular faculty (see Appendix 4.4).

Standard 4.A.9. Employment practices for part-time and adjunct faculty include dissemination of information regarding the institution, the work assignment, rights and responsibilities, and conditions of employment.

Except for a brief formal letter of appointment from the University President that a faculty member receives when initially appointed to a given position and rank, notification of reappointment and information about the position comes from the department. Central administration has sent out sample letters and an employment agreement to use for auxiliary appointments, especially ones that are contingent on continued funding or extend for more than 1 year. (Multiyear contracts are rarely used for "part-time and adjunct" faculty, but are sometimes used with other categories of nontenure-track faculty such as lecturers and clinical or research faculty who tend to be full-time.) The Office of General Counsel is currently working on new sample letters to share with departments for auxiliary faculty appointments.

The Center for Teaching and Learning Excellence offers teaching workshops for adjunct faculty on topics such as preparing syllabi, classroom management, grading and assessment, and teaching large classes. In addition, a comprehensive, online faculty handbook is currently in development and will be easily available to adjunct as well as regular faculty.

4.A.10 The institution demonstrates that it periodically assesses institutional policies concerning the use of part-time and adjunct faculty in light of the mission and goals of the institution.

The last major review of institutional policies on part-time and auxiliary faculty (of which adjunct faculty are a subset in our terminology, along with clinical, lecturer, research, and visiting faculty) occurred in 1999. The catalyst behind the review was a perceived need to clean up and impose greater standardization on the use of faculty titles and to introduce and then increase the use of lecturers (preferably full-time). The latter are faculty whose primary if not sole responsibility is teaching. Both needs were addressed in the revised policies. By the fall of 2005, the University was employing 136 lecturers of whom 127 were full-time.

As part of the above policy revision, the administration agreed to report each year to the faculty on the composition of the faculty complement. Each year's report contains data on 1) the distribution of faculty by type, for example, tenured/tenure-track versus research, clinical, adjunct, and so on; 2) the distribution by full-time versus part-time within each type; and 3) the share of credit hours taught by type of faculty by level of instruction (see Appendix

4.5). The report is delivered to the executive committee of the Academic Senate. After their review, the report goes to the senate for review and discussion by the full membership. This is not an in-depth analysis of institutional policies on the use of part-time and auxiliary faculty, but it does serve to periodically focus attention on these issues. Faculty discomfort with the results of the annual analysis could trigger a further, more in-depth review of the underlying policies and associated practices.

In addition to the above annual report, we have undertaken occasional training sessions on auxiliary faculty as part of our regular series of meetings with department chairs, and we have developed a Web page on that topic. We are currently reviewing the processes by which we appoint auxiliary faculty and set up and renew contracts with them.

STANDARD 4.B – SCHOLARSHIP, RESEARCH, AND ARTISTIC CREATION

4.B.1. Consistent with institutional mission and goals, faculty are engaged in scholarship, research and artistic creation.

The University's retention, promotion, and tenure criteria require that all regular faculty engage in the three traditional aspects of faculty work: teaching, research or artistic creation, and service. Departments determine the criteria for faculty in their departments and evaluate faculty engagement through yearly reviews.

In the spring 2005 survey, faculty reported they spend an average of slightly over 20 hours per week on research and scholarly writing. A review of the vitae of candidates for tenure in the past 3 years shows that, by the time they came up for review, the 149 faculty who were granted tenure published a total of 86 books and 4,861 articles. They also did a total of 8,535 presentations, conference papers, book reviews, artistic performances, technical reports, and other publications. The magnitude of these figures is enhanced by the fact that a number of the individuals involved were experienced faculty recruited as department chairs and deans. The figures demonstrate our faculty's commitment to scholarly activities.

Over the past decade, the University has augmented its faculty research endeavors to involve undergraduates in scholarship, research, and artistic creation. The Undergraduate Research Opportunities Program provides undergraduate students and faculty members the opportunity to work together on research or creative projects. The same is true for the Biology Undergraduate Research Program and the Honors Program thesis option. Over 46% of the regular faculty reported in the spring 2005 survey that they work with undergraduates on research.

According to the 2004 *Annual Report* of the Vice President for Research, the University of Utah has doubled its research funds during the past decade, with research faculty across the disciplines involved in creative and scholarly pursuits. Increasingly, faculty are engaging in interdisciplinary research opportunities and activities through the creation of centers and institutes such as the Scientific Computing and Imaging Institute, the Center for Cell Signaling, the Brain Institute, the Matheson Center for Health Care Studies, and the Center for Simulation of Accidental Fires and Explosions. Faculty engaged in artistic creation are engaging their scientific colleagues in opportunities for new creative research and scientific investigation through forums such as the annual symposium on arts and technology. This year's symposium, "Arts of the Virtual: Poetic Inquiries in Time, Space and Motion," is sponsored by the Center for High Performance Computing, the College of Fine Arts, and the College of Architecture + Planning.

4.B.2. Institutional policies and procedures, including ethical considerations, concerning scholarship, research, and artistic creation, are clearly communicated.

The University's policies and procedures are available online to all faculty and staff at the University. The Faculty Code of Conduct, *Policies and Procedures Manual* 8-12, the Conflict of Interest Policy, and the Research Misconduct Policy all contain pertinent provisions. An extensive list of research-related policies is available on the Website of the Vice President for Research (*http://www.research.utah.edu/policies/index.html*).

In addition, the University endeavors to clarify institutional, regulatory, and professional expectations for the conduct of research, scholarship, and artistic creation through training and administrative support. Since the last accreditation, the University has expanded its resources and programs directed towards strengthening research integrity. The Office of the Associate Vice President for Research Integrity was created to oversee the Institutional Review Board as well as the University's conflict of interest policy and research misconduct policy. The Office of the Vice President for Research offers a multitude of training programs including a class in research integrity taught by a philosopher and offered on both health sciences and main campus. The University has developed a research handbook that includes all the pertinent policies and procedures. The Website for research at the University provides a wealth of information on resources, policies, and training for the research community (*http://www.research.utah.edu/integrity/index.html*).

Moreover, the University has developed a Research Administration Training Series designed to accomplish the following goals:

- To facilitate a trained workforce in research administration supporting the academic mission of the University of Utah.
- To provide coordinated education and training programs that assist faculty and staff in the management of research activities.
- To advance professional development and high performance standards for all research administrators at the University of Utah.
- To promote a culture of compliance and research integrity at the University of Utah.

4.B.3. Consistent with institutional mission and goals, faculty have a substantive role in the development and administration of research policies and practices.

Faculty influence the development and administration of research policies and practices in a variety of ways:

- All changes to policies, including those related to research, must go through the Academic Senate, a body that includes students and administrators as well as faculty but that is dominated by faculty.
- The faculty are in charge of certain day-to-day operations wherein research policies can be at issue and where research practices are administered. Examples include the Institutional Review Board, the Institutional Animal Care and Use Committee, and the Radioactive Drug Research Committee. The Technology Transfer Advisory Committee, a relatively new group, is charged with "*policy interpretation, and policy recommendations on intellectual property, protection of inventions, and licensing of University-owned technology*." Faculty on the University Research Committee and the Research Instrumentation Committee allocate funds in support of research projects and research instruments, respectively.
- The faculty can play a key, formal role in certain ad hoc situations regarding major changes to policies. The most recent example was the development of the new

conflict of interest policy. The faculty had a major role in that process, principally through a committee established for that purpose chaired by a faculty member and, ultimately, through the formal adoption process of the Academic Senate. Subsequently, the Conflict of Interest Advisory Committee was established, consisting of 14 faculty members and a number of ex officio administrators, as part of the structure needed to implement the new policy.

- Faculty have input by being part of the administrative leadership team focused on research. The Vice President for Research, the Associate Vice President for Research, and the Associate Vice President for Research Integrity, key players in the establishment of research policies and practices, are all active faculty researchers themselves. Because they are active researchers, they are in contact with fellow researchers and they themselves must follow current University policies and practices.

4.B.4 Consistent with its mission and goals, the institution provides appropriate financial, physical, administrative, and information resources for scholarship, research, and artistic creation.

In fiscal year 2005, the University collected about $59 million in reimbursed research overhead funds. As in years past, virtually all of this money will be reinvested in support of research and scholarship activities. Roughly $20 million will be spent as "start up" funds for new faculty. Other portions will be used to pay for implementing compliance requirements, graduate students (research assistants), high performance computing and networking, facilities, and direct program support. The overall allocation strategy for these crucial, discretionary funds is managed by the Research Overhead Committee, whose members consist of the senior vice presidents and the Vice President for Research. A portion of the funds has been allocated to the respective deans of the 15 colleges, including small amounts to colleges that do little or no sponsored research. Colleges and departments use a variety of funds to help pay for faculty travel to professional conferences.

Regular (tenured/tenure-track) faculty and other full-time faculty are entitled to an office on campus. The quality of faculty office space varies but is generally decent.

In a 2005 survey of faculty, 81% were satisfied or extremely satisfied with their office space. In that same survey, 73% of respondents indicated they were satisfied or extremely satisfied with their research/laboratory space. Once a year the central administration gathers requests for remodeling of research space and allocates $1 million dollars to be spread among the highest priority projects. Similarly, a committee allocates $1.15 million each year for additional scientific equipment. We could easily spend more if we had the resources. Even now we occasionally find it necessary, particularly in the physical sciences, to restrict hiring because of our inability to meet start-up costs.

Department chairs, deans, and the central administration share the responsibility for helping faculty succeed in their scholarly and creative activities. This includes adjusting faculty work loads to ensure adequate time is available, providing modest financial support for professional development, and seeing to physical needs. The central administration's supportive efforts are coordinated by the Vice President for Research and his staff. The Office of Sponsored Projects, the Institutional Review Board (IRB), and the Office of Technology Ventures support faculty research efforts in various ways. They can also be impediments when they do not work well. For example, several years ago it took anywhere from 3 months to 6 months to move a research proposal through the IRB review process. We have since fixed that problem. At present, the IRB review takes less than a month for a low risk proposal and 1 month to 5 weeks for a moderate risk proposal.

The information resources made available to the faculty are in keeping with those expected at a research university. Our library resources are generally better than average when measured against others in the Association of Research Libraries: in 2003-04, out of 113 survey respondents, we ranked 55th in total volumes, 37th in serials, 16th in government documents, 42nd in expenditures, and 30th in number of staff. Faculty have access to a high-speed, broadband computer network on campus, which connects to the fastest available Internet facilities (Internet 2, National Lambda Rail). The University's Center for High Performance Computing provides large-scale computer resources to facilitate advances in the field of computational science. The projects supported by the Center for High Performance Computing come from a wide array of disciplines requiring large capacity computing resources, both for calculating the solutions of large-scale, two- and three- dimensional problems and for graphical visualization of the results.

4.B.5. The nature of the institution's research mission and goals and its commitment to faculty, scholarship, research, and artistic creation are reflected in the assignment of faculty responsibilities, the expectation and reward of faculty performance, and opportunities for faculty renewal through sabbatical leaves or other similar programs.

The defining feature of regular faculty at the University of Utah is that they are expected to contribute to all three areas of research, teaching, and service, whereas auxiliary faculty members' "*continuing professional activities do not span the full range of responsibilities of regular faculty members*" (*Policies and Procedures Manual* 9-2 Section 4). Regular faculty members are evaluated on all three areas for retention, tenure, and promotion and in posttenure reviews, and those who do not continue to contribute in all areas throughout their careers are the exceptions. The University has no centralized system for faculty compensation. The "common wisdom" is that rewards for research performance are at least as good, if not better, than those for performance in teaching and service. The University annually awards monetary prizes for both teaching and research excellence.

The University's sabbatical program offers opportunities for renewal and for advancing faculty members' research and creative activity. Sabbaticals are allowed only for "*purposes that will improve the ability of the recipient to discharge effectively his/her teaching, research or service obligations*" (*Policies and Procedures Manual* 8-8S, C). Regular faculty are eligible to apply after every 6 years of service.

The number of sabbatical semesters available is not enough to provide every faculty member a sabbatical every 7 years, but it comes very close to meeting actual demand for sabbaticals. Over 85% of the faculty respondents to the spring 2005 survey said they were satisfied with their "opportunities for scholarly pursuits."

4.B.6. Sponsored research and programs funded by grants, contracts, and gifts are consistent with the institution's mission and goals.

The University has various units that ensure research is conducted in appropriate, safe, and effective ways. The Office of Sponsored Projects (*http://www.osp.utah.edu/*) reviews each research proposal for compliance with University, state, and federal regulations. The Institutional Review Board must approve any and all research involving human subjects to ensure the safety of those subjects and compliance with a host of governmental regulations. The Institutional Animal Care and Use Committee oversees animal-based research. Environmental Health and Safety ensures safe laboratory environments, and Radiological Health regulates the use of radioactive materials. The Conflict of Interest Committee addresses potential conflicts of interest in the conduct of research.

The University does not have an office that polices content of research projects in relation to the institution's mission or goals. At one level, it is a matter of academic freedom for faculty to pursue any or all of their ideas. Research proposals, however, are reviewed by department chairs and deans. In some instances they are reviewed by the Vice President for Research. Some proposals are, or could be, part of a particular strategic initiative upon which the University is embarking. For example, given that the University has recently stepped up efforts to conduct research having potential for commercialization, at least some research projects are more likely to receive encouragement from the Office of Technology Transfer. In addition, the University does invest returned overhead dollars as seed funding to help support early-state research in areas likely to be of major regional or national importance in the future such as neuroscience and nanotechnology. It also provides matching funds for major center proposals when the proposed centers are likely to be of strategic value to the institution. The University is currently considering developing a policy on institutional conflicts of interest.

All proposals involving $1 million dollars or more are reported to the State Board of Board of Regents, but the Board of Regents normally does not review the proposals with an eye to rejecting or approving them on the basis of institutional mission and goals.

4.B.7 Faculty are accorded academic freedom to pursue scholarship, research, and artistic creation consistent with the institution's mission and goals.

Through the past decades, the University of Utah has vigorously defended academic freedom through internal faculty processes and external administrative support. John J. Flynn, Hugh B. Brown Professor of Law Emeritus, recently authored an article entitled "The Academy in the Crosshairs" in the alumni magazine, *Continuum* (fall, 2005). Professor Flynn recognizes the University's steady and continuing support for academic freedom through the past 50 years but notes that "*recent events have begun to raise serious concerns about the ability of the University to protect and foster academic freedom*." Flynn points to legislative efforts in Utah to investigate University admissions in one college as well as faculty nervousness over the efforts of those in the public to mandate the teaching of "intelligent design." The latter proposal died in committee in this year's legislative session.

It has been many years since the University's Academic Freedom and Tenure Committee has received a serious complaint of administrative interference with a faculty member's pursuit of scholarship, research, or artistic creation. All members of the University community need to be attentive, however, to potential challenges presented by legislators, litigators, and adept purveyors of the media and social opinion.

Summary

Commendations

- The University deserves commendation for faculty selection, evaluation, roles, welfare, and development. Regular faculty are very carefully selected for their ability to contribute to the University's tripartite mission. They have full control over the curriculum. The Academic Senate, which is dominated by faculty, is a powerful, influential body. Virtually all policy changes of whatever kind must be approved by the Academic Senate. Workloads are comparable to those at similar universities elsewhere. Evaluations for tenure are rigorous. Procedures for hiring part-time faculty are not as tight as those for full-time faculty, but annual terms of appointment create frequent opportunities to address problems.

The University has made significant progress in the review of tenured faculty since our last accreditation. We now collect data that document that such reviews are being done regularly. On May 16, 2006, we sent a clarification to deans of the limited exceptions to the rule that faculty members have post-tenure reviews and of the format in which we would like to receive the reports. The remaining issue, which is being addressed this summer, is to identify any departments whose policies do not explicitly provide for making improvement plans for under-performing faculty and to ensure that this step is added to their policies and carried out. Our overall assessment is that we are doing well in this category. Ongoing, serious attention is paid to faculty selection, retention, and promotion and to policies and procedures that impact on faculty.

- A second area for commendation is that of scholarship, research, and artistic creation. The data demonstrate that our faculty are productive scholars in their respective fields. Since the last accreditation visit, we have added considerable resources to strengthen our Institutional Review Board, added an associate vice president to focus on research integrity, and significantly revised our conflict of interest policy, all of which are designed to help provide a proper policies and procedures environment for our scholars. From their perspective, the University also provides adequate physical and technical means to enable them to work effectively. Our overall assessment is that we are doing well in this category. Ongoing, serious attention is paid to the policies and procedures within which our scholars work, and we do reasonably well in providing the resources they need to be successful.

Challenges

- One area to which we will give further attention is the faculty's perception of its role in governance. The survey results noted above that 42% of faculty disagreed that "faculty are sufficiently involved in campus decision making" is balanced somewhat by another question in the same survey, showing that only 5% of faculty strongly agreed and 28% somewhat agreed that "U. faculty are typically at odds with U. administration." Both of these responses, however, deserve to be disaggregated and analyzed.

- We feel we are doing quite well but have plans for further improvement in two areas that cut across both major sections of Standard 4. With respect to academic freedom, we are bound by our new accommodations policy to do a thorough review of the policy in January 2007. In revisions passed in spring 2006 to the procedures of the Academic Freedom and Tenure Committee (renamed the Academic Freedom and Faculty Rights Committee), we are providing for the addition of two student members to the committee if it receives a complaint from a student. Given trends around the nation, we are trying to have in place procedures that will provide the perception and the reality of fairness to resolve any disputes that may arise.

- Standard 4 includes several specific standards that concern communication of institutional policies and practices to both regular and auxiliary faculty. We are undertaking several initiatives to improve such communication. We have in progress a new, fully online version of the faculty handbook, which had not been revised in some years. This should greatly improve access to information for all faculty. The Associate Vice President for Faculty will also be extensively revising her Website and organizing it to serve several constituencies better. Finally, since good communication flows in two directions, a new, online faculty exit survey went live in mid-May, which will enable us to research and try to address various reasons for faculty departures, including more attractive offers from other institutions and internal problems of institutional climate or management.

STANDARD 5
LIBRARY AND INFORMATION RESOURCES

TOGETHER WE REACH.

STANDARD 5.A – PURPOSE AND SCOPE

5.A.1 The institution's information resources and services include sufficient holdings, equipment, and personnel in all of its libraries, instructional media and production centers, computer centers, networks, telecommunication facilities, and other repositories of information to accomplish the institution's mission and goals.

The University of Utah Libraries (Spencer S. Eccles Health Sciences Library, J. Willard Marriott Library, and S.J. Quinney Law Library) provide innovation and leadership in information technology and its integration into teaching, learning, and research.

The libraries are stewards and interpreters for collections representing the cumulative record of humankind, as well as safeguarding the institution's intellectual property in a digital world.

The libraries offered *Anytime, Anyplace* collections and services a decade ago, available only at a handful of the largest research libraries. Library buildings are technology centers, information resource centers, and campus homes for students. The *Library as Place* is more in demand than ever and fosters the reading, exploration, and discussion that develop effective professionals, scholars, information consumers, and global citizens. Students meet in the libraries not only to use library resources, but also for group study, discussions, e-mail, state of the art computers, wireless networks, high-tech classrooms, and a wide range of specialized software.

The libraries have become leaders, not only on campus, but in our state and in the global library community. In the late 90s, the libraries were a solid but undistinguished medium sized research library system, with few leading edge projects. In 2006, the University of Utah Libraries are a major campus asset — working together to obtain national grants, explore innovative uses of technology, partner in collaborative efforts with faculty, and build spaces for teaching and collaborative learning in all our facilities. The libraries are active publishers and publishing partners in print and digital ventures, and they continue to build traditional collections and to put in place endowments and other funding sources to support long-term growth. To house, organize, and preserve the intellectual capital of the University, the libraries are building an institutional repository.

Table 5.1 provides a synopsis of the resources available through the University of Utah Libraries over the past decade. The synopsis suggests significant growth in all categories of activities from volumes held to library expenditures. Each of the three University libraries maintains its own Website, which provides critical information to both student and faculty users as well as descriptions of holdings and services. URLs for each are J. Willard Marriott *http://www.lib.utah.edu/*, Spencer S. Eccles Health Sciences (*http://medlib.med.utah.edu/*), and S. J. Quinney Law Library (*http://www.law.utah.edu/sjqlibrary/*).

5.A.2 The institution's core collection and related information resources are sufficient to support the curriculum.

Collections, facilities, and services are planned with an emphasis on curricular needs. New programs require formal library approval signifying the ability to build adequate collections and offer appropriate reference and instruction. Library laboratories allow students to use advanced software to meet the needs of particular programs. Librarians work with faculty to integrate information skills into courses and to incorporate technology into teaching.

5.A.3 Information resources and services are determined by the nature of the institution's educational programs and the locations where programs are offered.

The University of Utah Libraries serve the needs of a research-extensive institution. Both library holdings and services provided for faculty and students reflect the fact that the University and its faculty must engage in the three traditional missions of teaching, scholarship, and service. The location of the Eccles Health Sciences Library was chosen based on the physical setting of the health sciences campus. Likewise, the Quinney Law Library is co-located with the University's College of Law in order to ensure students and faculty have timely access to their specialized needs. Each time a new academic program is proposed for the University, a specific component of planning involves an assessment of the libraries' capacity to support the new entity.

Table 5.1: University of Utah Libraries Association of Research Libraries Statistics 1996 - 2004

	1996	2001	2004
Volumes Held	2,540,550	2,909,643	3,185,910
Total Current Serials	1,5545	32,800	40,753
Total Interlibrary Lending	32,600	48,762	46,285
Total Interlibrary Borrowing	13,946	19,671	21,494
Total Materials Expenditures	$5,625,839	$7,630,267	$7,249,844
Total Library Expenditures	$14,977,554	$21,681,364	$22,230,041

STANDARD 5.B – INFORMATION RESOURCES AND SERVICES

5.B.1 Equipment and materials are selected, acquired, organized, and maintained to support the educational program.

Students and faculty have access to extensive traditional and electronic collections, buttressed by services—cataloging, digitization, reference, and circulation—without which materials could not be identified and retrieved. Through knowledgeable librarians, students learn to use the collections and locate additional Open Access materials and relevant titles from libraries worldwide.

To provide the titles users request despite rapidly rising prices and a deluge of new and in-demand online publications, the libraries have stressed innovative solutions to meet user needs within a limited budget.

Anytime, Anyplace Collections

Users rank access 24 hours a day from work and home as a priority in the biennial Association of Research Libraries LibQUAL+ surveys. Annual SMART goals emphasize building electronic collections and making it easier for users to identify and retrieve what they need. (See 5.E., Assessment/User Feedback, Strategic Plans and SMART goals.)

In 1996, the "Information Systems Handbook" had 30 pages of instructions on how to connect via a Mac, an IBM computer, Telnet, Gopher, the World-Wide-Web (hypertexts and graphical browsers), FTP, and Archie. The bulk of this guide, cross-indexed by searching software and subject, listed the 250 titles (mostly indexes), each with a chart on who could access what from where. From many parts of campus, little was accessible--and from home, even less.

By 2001, the libraries were using MarrioNet and similar networks of cd-rom and remotely hosted resources that allowed much better access but to a limited number of databases; there were still major connectivity issues.

In 2006, the libraries offer authentication routes including proxy servers that are transparent to users, downloadable VPN software, and integrated library resources within My.Utah.edu, a student portal giving users a single sign-on to reach many campus resources. Library Web pages connect to online, e-mail, and phone help.

The *Any Time, Anyplace* library will continue to require books and library resources in traditional format, and the libraries continue to build those collections, with special emphasis on materials that are unique or at risk from a preservation viewpoint.

Undergraduates

Undergraduates constitute the bulk of library users. As the main library serving them, Marriott builds collections and services focusing on their needs.

Library surveys show that undergraduates overwhelmingly prefer online full text. Utah was among the very first states to leverage collective buying power and technological expertise through statewide collaboration. As a result, the electronic statewide collection is outstanding. The core resource for undergraduates is the *EBSCOHost* family of databases. Utah switched from *EBSCO Academic Search Elite to Academic Search Premier* in 2004, doubling the number of full-text journals from 2,038 to 4,489. Additional indexing tools have been added to EBSCOHost so that students can use this familiar interface to search PsycINFO, SportDiscus, MLA Bibliography, and CINAHL. The EBSCO databases recorded 571,000 searches in 2004. Since this system is statewide, freshmen and transfer students can continue to build on library skills taught earlier in their academic careers.

Examples of the many databases undergraduates use heavily include Safari technical e-books, Alexander Street collections of primary sources, the *AP Photo Archives*, the *ProQuest* newspapers, *Ethnic Newswatch*, and *AltPressWatch*. The complete database list, "Article Databases and More," is at *http://db1-sql.staff.library.utah.edu/databaseOfDatabase*.

Marriott's book collection is comprehensive for undergraduate needs due to an approval plan in place since the 1960s and subject selectors, who work with faculty to purchase resources needed for curriculum support. Library letters of support for all new majors or minors are required, and the libraries jointly evaluate each new program and add materials as needed whenever fiscally feasible.

Undergraduates are using more primary sources in classes and through the Undergraduate Research Opportunities and other programs. Librarians help design assignments using print and digitized collections, both purchased and created from our collections. Materials from Manuscripts, Rare Books, and Western Americana are available to students and integrated into courses in history, art and art history, English, architecture, communications, and other departments.

In the last decade, Marriott has built a Book Arts and Outreach Program (*http://www.lib.utah.edu/rare/BAP_Page/BAP.html*) that is among the best in the country. The program provides an opportunity for students to learn about and handle rare materials. A variety of digitized collections, such as *Early English Books Online* (facsimiles of 15th-17th century books) and *North American Women's Letters and Diaries*, provide additional primary sources online.

As an example of one of the book arts programs, the Rare Books division worked with the Middle East Center to bring a History of the Book presentation to the center's annual 2-day seminar for K-12 educators. Seventy educators attended a 90-minute lecture and saw a display of rare books. All 70 listed this as one of the three most useful of the 11 presentations.

During an orientation tour, a freshman surveyed the stacks and asked "*How do you find anything to read in this place?*" We knew we had books that would intrigue the general reader, but they were buried among more scholarly volumes. The Browsing Collection now showcases books of interest to a broad audience. Donor funding has helped expand it with titles, such as paperback genre fiction, we might not otherwise buy but that students enjoy. These constantly refreshed 1,800 volumes circulate 7,000 times a year and are reshelved over 10,000 times. A new committee, the Unrequired Reading Group (*http://www.lib.utah.edu/unreq/*), provides book lists, Websites for book lovers, and programs to entice undergraduates to read more. Another new committee, Arts in the Library (*http://www.lib.utah.edu/arts/*), performs a similar function—broadening undergraduate exposure to the arts through displays and performances.

Electronic reserve readings are critical for students studying at home or work, especially for a commuter campus. Through the My.Utah.edu student portal, reserve readings are linked to class Web pages. In 2004-2005, Marriott had 48,396 titles in 2,948 courses on electronic reserve. The total number of items on paper reserve for 2004-2005 was 37,591 and total number of items on electronic reserve was 28,657. Total circulation (checkouts) for the paper reserves for 2004-2005 was 77,262.

The libraries are concerned that using electronic reserve as an option for class reading materials may become less available than it is today as copyright issues are debated in the electronic environment. Libraries follow much the same "fair use" guidelines for electronic as they do for print. Some publishers are beginning to assert that this exceeds "fair use," a situation we are monitoring closely.

The rising cost of textbooks is a concern. Students report making academic decisions on the basis of textbook costs. "At state universities, textbooks and supplies account for 26% of all student fees, including tuition" (Ayres, Ian, "Just what the Professor Ordered" [Op-Ed], *New York Times*, September 16, 2005. p.A27).

The University of Utah Bookstore is one of several in the country participating in a test of electronic textbooks. The libraries anticipate students will come to prefer these to paper in many disciplines. An electronic textbook costs less than a paper one, but can be downloaded only once, e.g., to a laptop or to a PDA, but not both. These texts may not be the solution to containing costs as they curtail students' ability to buy textbooks second-hand and to sell them at the end of the course.

Research Collections

For many years, collection budgets have been a severe problem, especially the serials budget. The University has made major efforts to improve funding (see funding sections). The Association of Research Libraries ranking for the University of Utah Libraries rose from 55th in 1996 to 41st in 2001 and 40th in 2003-2004, in large part due to this new funding. Collection descriptions, budgets, and statistics for individual disciplines are available at *http://www.lib.utah.edu/colldev/index.html*. The Quinney collection is described at *http://www.law.utah.edu/sjqlibrary/about/collections.html*.

The University offers 177 graduate degrees, supporting professional schools in architecture, law, business, social work, and medicine. The three libraries make every effort to support each program, but have not achieved uniform success for all disciplines. A combination of innovative document delivery/interlibrary loan systems, faculty support for new models of scholarly communication, the building of institutional repositories, and investment in new technologies will be necessary for libraries to support tomorrow's scholars.

The total journal count has risen dramatically due to journal aggregations such as *EBSCOHost* and through the purchase of all-title packages from publishers including Oxford, Cambridge, and Blackwell's. Many of the new titles are welcome additions to the collection. However, collections lack some expensive but important titles considered valuable to researchers. The overall subscription count has risen from 15,545 in 1996 to 32,800 in 2001 and to 40,753 in 2004.

The libraries have put in place e-mail Interlibrary Loan to deliver articles as PDF documents. For faculty, the libraries scan articles from print journals held at the University. Document delivery services for articles from journals to which we do not subscribe have proved more difficult to implement than anticipated, but we are moving towards faster and more comprehensive delivery. Marriott's faculty services are described at *http://www.lib.utah.edu/services/faculty.html*.

Though most current journal issues are online, many library back files are still in print. All major publishers are moving rapidly to complete online back files and the libraries have purchased the most urgent and affordable of these. We are not able to afford many of the more expensive back files and are working on alternatives to provide access to these titles.

Over two million articles were downloaded this year, but there are gaps, which cause serious difficulty for researchers in some fields. In the 2004 Association of Research Libraries' LibQUAL+ survey, users nationwide felt their libraries were not providing "*Print and/or electronic journal collections I require for my work*." University of Utah users scored us slightly below the national average.

The libraries start new subscriptions and databases on faculty request, unless costs are prohibitive, and avoid cancellation of titles faculty feel strongly about. All new subscriptions are evaluated after 3 years to be sure they are wise investments. Marriott's new subscriptions are listed annually at *http://www.lib.utah.edu/colldev/index.html*.

A few large commercial publishers, referred to by librarians as "aggressively priced," dominate a number of science, technology, and medicine fields. Continuing mergers among these publishers mean that two publishers – Elsevier and Spring Verlag/Kluwer – produce a very large percentage of the expensive academic journals. The libraries track individual serial titles very closely. In 1996, a decision was made not to allow expenditures from these publishers to consume a growing percentage of the budget, cutting out books and journals from more reasonably priced publishers. We have largely honored that goal.

The libraries study cost-per-use for each print and online journal and have longitudinal data going back to 1993 for many titles. Journals with a high dollar cost per use are examined for possible cancellation, as are journals at any price that show little or no use. Because we have not signed all title package agreements with high cost publishers, we are free to cancel from the list of expensive/low use journals. This has made the necessary journal cancellation projects less painful than they would have been otherwise.

Lists of titles being considered for cancellation are circulated as widely as possible to all faculty members. Subject selectors work with the faculty in their assigned departments to evaluate the effects of cancellation. All faculty requests to take titles off the cancellation list are taken very seriously; and, until the 2006 cancellation, the libraries believe they have honored every such request. This year for the first time, it was necessary to cancel some titles even though a faculty member had asked that the title be retained.

Since 2000, Marriott has cancelled over $1,400,000 in subscriptions, with commensurate cancellations at Eccles and Quinney. The libraries cancel to balance the budget and to fund new titles and online upgrades. Most users prefer online access and we are switching to it whenever possible. The title lists for cancellations are retained on Marriott's Web page to provide faculty with easy access to them.

The libraries have strong book collections, print and electronic. Collections are relatively young—the institution grew into a research university only in the 1960s—but have been built consistently over many years. Approval plans since the 1960s have automatically brought in newly published English language books. These gathering plans have been kept intact even when funding was scarce. The resulting collections have uniform coverage across many publication years and subject areas.

Selectors have budgets to select additional books and audio-visual materials; and the libraries routinely honor user requests, with an emphasis on obtaining requested materials quickly. Within the Association of Research Libraries, the University of Utah last year ranked 21st in the percentage of the materials budget spent on monographs.

E-books are increasing in popularity, but still suffer from the technical challenges of a new format. Putting a journal online multiplies uses by a very large number. Putting a book online does not have such a dramatic result, but use does compare favorably to the circulation of printed titles. All e-books are cataloged, which is labor intensive but critical for users. The Marriott e-book collection has grown from 13,844 in 2002 to 99,102 in 2004 as a result of both converting earlier microform collections such as Early English Books Online from microfiche to digital and of buying comprehensive e-book collections such as ebrary, which now contains 30,000 titles.

Marriott Special Collections houses manuscript and audio-visual archives relating to Utah, the American West, and an outstanding Middle East collection. Eccles holds early editions and rare items in its History of Medicine collection. Format collections include maps, the curriculum collection (tailored to the needs of undergraduates in the College of Education), micro formats, a government documents collection, and collections of CDs, DVDs, and other audio formats. The Association of Research Libraries statistics for some of these categories are shown in Table 5.2.

Using the Collections: Access

Every library user has two tasks—identifying needed information (access) and then locating the items (delivery). A book that is not cataloged or is off the shelf is a book the library effectively does not own. This is as true for electronic titles as for print. When users do not find what they want, they assume the libraries do not own it. Frequently we do own it, but the user cannot locate it in a very large, complex system of library records and authentication systems. The University libraries are making every effort to address the issues involved.

All e-books and journals in both subscription packages and aggregations are cataloged, and e-journals are also listed as a separate A-Z title list at *http://db1-sql.staff.library.utah.edu/databaseOfDatabase*.

Students and researchers use many indices to retrieve citation lists. If there is full text and the links work, they are very satisfied. There is no easy way, however, for the user to tell whether the libraries offer print or online access. What the user sees will vary depending on the individual's location and online path. To be completely sure, the user needs to check the Marriott catalog, the Eccles catalog, and the e-journals list; and be using a machine with a campus IP or have followed one of the proxy paths. The libraries have built and are constantly upgrading links among the indices and to full text, but today's technology does not yet make the system wholly reliable or easy to understand.

Table 5.2: Marriott Special Collections

Year	Manuscripts & Archives	Film & Video	Microforms
1996	16,460	14,826	3,344,499
2001	37,417	21,491	3,525,584
2006	44,995	26,458	3,590,064

In the 2001 user survey, users noted "*clumsy off-campus access*" problems. Troubleshooting is complicated. The problem can be with the user's computer, the library's computer, the publisher's computer, the network in between, authentication, subscription registration problems, embargos, temporary network problems, user error, setup problems, and any and all combinations of the above. It often requires several people communicating several times to solve a single problem.

Users most often ask for books and journals very close to the date of publication. The expectations of Amazon.com users are high. The libraries have examined every step, from request to check-out—physically or electronically. The FASTER initiative has (in some cases dramatically) shortened this timeline.

Using the Collections: Delivery – Print and Electronic

The libraries offer a wide variety of classes (see Independent and Effective Use of Resources, 5B2) to help people learn to navigate online information.

Students want full-text delivery to the desktop (the laptop, PDA, cell phone, iPod). Expanding this is the top priority, especially for journal articles, both from journals held in print and those the libraries do not own. Among recent initiatives, the libraries now send articles via e-mail and have implemented a faculty document delivery service to scan articles from the collections and send them digitally to faculty computers. Marriott will pull items and hold them for pickup and Eccles and Quinney libraries deliver to faculty offices. The libraries mail or e-mail articles (and books) to distance education students. Marriott is also exploring the possibility of pulling books for students on request.

The Automated Retrieval Center now under construction will improve the find rate for materials housed there. In the Automated Retrieval Center, once the user has located a title in the catalog, he or she has found the book as it is automatically retrieved. The new Iliad interlibrary loans system has improved delivery as well. Strategic plans note that we need unmediated user initiated interlibrary loan requests. The libraries are gradually implementing that from within indexes and databases.

Circulation policies are liberal at all three libraries. Most academic libraries are seeing a decline in circulations, but the University libraries total circulation has grown from 456,321 in 1996 to 522,987 in 2001 and 578,476 in 2004.

Library as Publisher: Creating Digital Collections and Supporting Digital Scholarship

Since 2001, the libraries have become active publishers in the digital realm. Many initiatives draw from our own collections, and others digitize material held by partner libraries, museums, and historical societies.

University of Utah Press

University presses are an essential part of the scholarly communication infrastructure, and in March of 2005 the press moved from the Office of Information Technology to officially join forces with Marriott Library. The libraries and the press have worked together for several years, and both partners see potential for many new joint projects.

Jeff Grathwhol, the press director, stated: "We hope to benefit from the Marriott's expertise in some of the new digital publishing options as a supplement to our print program. And as the library undertakes initiatives that are essentially publishing projects, I think we can provide help in shaping and editorial functions." About a dozen press titles are online on the Marriott Web page under "Digital Collections" (*http://www.lib.utah.edu/digital/uupress/index.html*).

The press has several titles placed digitally with netLibrary and ebrary as an experiment with the logistics and economics of commercial online publishing.

Mountain West Digital Library

In 2002, in an initiative led by Marriott and Eccles librarians, the Utah Academic Library Consortium funded digitization centers at the University of Utah, Southern Utah University, Brigham Young University, and Utah State University. The libraries' digitized holdings now exceed 4,000,000 items on topics ranging from the Topaz Japanese American WWII Internment Camp to a project to digitize Utah's territorial laws, coordinated by the Quinney Law Library, to a 1909 Colorado River expedition.

University Libraries have received three federal grants for digital initiatives. The Utah Digital Newspaper Program received $470,000 from the Institute of Museum and Library Services and $353,000 from the National Endowment for the Humanities, and the Western Waters Digital Library received $249,736 from the institute. The newspaper program has received three Utah State Library grants totaling $326,000.

Institutional Repository

The University Libraries are building an institutional repository to house, organize, and preserve the intellectual output of the University. It can hold and permanently archive materials in almost any digital format including those that were originally created in digital form as well as those converted from print. This can include copies of published journal articles from our faculty, PowerPoint presentations, streamed audio and video, oral histories, recordings of performances, theses, conference proceedings, lecture series, and student work.

Institutional repositories are important to the goal shared by faculty and librarians of making needed information available without cost barriers to all who can benefit from it, whether or not they have access to library subscriptions. They make the work of the University available to the nonacademic community and help University funding bodies understand the work of the University. The institutional repository also means that materials in it can be found and retrieved in full-text format through Google Scholar and all major search engines.

The University institutional repository uses CONTENTdm, a digital rights management system that can hold a wide variety of formats, including newspapers, photos, art works, and dissertations. The libraries and The Graduate School expect to implement an online system for dissertation submission in 2006-2007, which will make University dissertations available to a much broader community, in addition to continuing to reach the 40 some academic libraries currently subscribing to the ProQuest Digital Dissertation product.

The libraries have applied for a Library Services and Technology Act grant to fund staff for the institutional repository, which also formed the core of the Utah Academic Library Consortium's legislative request to the 2005 legislature.

The Marriott Library is the publisher of the Tanner Trust Fund Books series "*Utah, the Mormons and the Wes*t." Many of these 15 monographs are out of print and have again been made available to readers as a digital series at *http://www.lib.utah.edu/digital/tanner/index.html*.

Red Butte Press is a hand press that has allowed students to learn every stage of book production, from design, typesetting, paper management, and hand-made, letterpress setting, to the final printing process. Something Lived, Something Dreamed, Urban Design and the American West, by architect and city planner William McDonough, is the latest volume from the press. It has been recognized by the American Institute of Graphic Arts, AIGA 50/50 *http://www.aiga.org/content.cfm/5050_2005, and* HOW Perfect Ten Awards 2005. *http://www.howdesign.com/competitions/perfect10/2005/winners.asp*, and was featured in an article in July/August, 2005 issue of PRINT, the nation's premiere design magazine.

Funding the Collection

For the 8 years ending in 1998, a period of intense price increases in scholarly journals, the acquisitions budgets at all three libraries were flat. New electronic products became available, journals went online, book production grew, and the libraries were unable to respond to faculty requests or the needs of new faculty and programs. The first major serials cut in 1998 took 10% of all titles out of the collection. The *University of Utah Chronicle*, the student newspaper, printed a double paged center spread in small type showing the list of titles. Academic libraries statewide shared the same budget issues and, led by the Eccles Health Sciences Library, decided to conceive a totally new strategy.

The Utah Academic Library Consortium created a proposal called "Libraries 2000." It promised to show more results from a statewide investment in library collections than would be possible if libraries were funded individually. Due to the consortium's 35-year history of cooperation, there was and is a very high level of trust, and the libraries knew they could cooperate. The legislature, impressed with the proposal and pleased to see cooperation, allocated both one-time and ongoing funds to the Libraries 2000 initiative to support statewide library collections and services.

Central funding provides a core collection of databases for all higher education institutions. This frees campus acquisition funds to be used for the purchase of locally selected resources. Substantial ongoing funding supports four positions in the libraries and contributes to the materials budget - $342,000 annually to Marriott and $54,000 each to Quinney and Eccles. In addition, the three libraries chose to put $100,000 annually into a joint reserve fund to invest in future opportunities and needs.

Table 5.3 documents the funding of the libraries acquisitions budget shows the history of this initiative, which was successful for several years in obtaining badly needed new funds. However, in recent years, there has been no new state funding. Total University materials expenditures reached a high of $7,630,267 in 2001 and stood at $7,249,844 in 2004.

Table 5.3: History of Acquisitions Funding Fiscal Years 1997 – 2006

Acquisitions Allocations 1996 – 1997	
Base Budget (ongoing)	$4,419,100
Acquisitions Allocations 1997 – 1998	
Base Budget (ongoing)	$4,419,100
Libraries 2000 (ongoing)	342,000
	$4,761,100
Joint U of U Libraries (ongoing)	$100,000
Eccles Health Sciences Library (ongoing)	54,000
Quinney Law Library (ongoing)	54,000
Acquisitions Allocations 1998 – 1999	
Base Budget (ongoing)	$4,761,100
IMS (ongoing)	15,000
Base Presidential (ongoing)	75,960
Legislative, Higher Education, Marriott (one time)	189,000
Legislative, Community & Economic Development, Marriott (one time)	100,000
Presidential Allocation, Marriott (one time)	66,200
	$5,207,260
Eccles Health Sciences Library (ongoing)	$12,020
Quinney Law Library (ongoing)	12,020
Eccles Health Sciences Library (one time)	72,000
Quinney Law Library (one time)	72,000
Acquisitions Allocations 1999 – 2000	
Base Budget (ongoing)	$4,852,060
Base Budget Cut (ongoing)	(35,000)
Legislative, $1,000,000 for Libraries (one time)	214,600
Presidential Allocation (one time)	159,800
	$5,191,460
Eccles Health Sciences Library (one time)	$49,700
Quinney Law Library (one time)	49,700
Acquisitions Allocations 2000 – 2001	
Base Budget (ongoing)	$4,817,060
Presidential Allocation (one time)	159,800
Acquisitions Allocations 2001 – 2002	
Base Budget (ongoing)	$4,817,060
Libraries 2000 (ongoing)	284,820
Libraries 2000, Collections (one time)	15,000
Presidential Allocation (one time)	159,800
	$5,276,680
Eccles Health Sciences Library (ongoing)	$44,971
Quinney Law Library (ongoing)	44,971
Eccles Health Sciences Library (one time)	15,000
Quinney Law Library (one time)	15,000
Acquisitions Allocations 2002 – 2003	
Base Budget (ongoing)	$5,101,880
Base Budget Cut (ongoing)	(353,986)
Libraries 2000 Budget Cut (ongoing)	(3,980)
Tuition Increase Funds (ongoing)	152,000
Presidential Allocation (one time)	159,800
	$5,055,714
Acquisitions Allocations 2003– 2004	
Base Budget (ongoing)	$4,895,914
Base Budget Cut (ongoing)	(62,762)
Libraries 2000 Budget Cut (ongoing)	(11,834)
Presidential Allocation (one time)	159,800
Vice Presidential Allocation (one time)	25,000
	$5,006,118
Eccles Health Sciences Library (ongoing)	(1,869)
Quinney Law Library (ongoing)	(1,869)
Acquisitions Allocations 2004 – 2005	
Base Budget (ongoing)	$4,821,318
Presidential Allocation (one time)	159,800
Reoccurring Soft (one time)	100,000
	$5,081,118
Acquisitions Allocations 2005 – 2006	
Base Budget (ongoing)	$4,821,318
Base Budget Increase (ongoing)	200,000
Presidential Allocation (one time)	159,800
	$5,181,118

Preservation

Marriott's outstanding preservation lab provides in-house preservation, trains technicians from a wide area, and handles the needs of digitization programs including the Utah Newspaper Project by repairing materials prior to scanning to improve quality and legibility.

Students employed in Special Collections and in projects at Eccles and Quinney learn manuscript curatorial skills and to create electronic access through Encoded Archival Descriptions and CONTENTdm metadata. Of the 80 students trained in the lab, six (12.5%) are now professionally employed in the field and, over the past decade, at least a half dozen students from Special Collections have gone to library school and graduate study in history.

5.B.2 Library and information resources and services contribute to developing the ability of students, faculty, and staff to use the resources independently and effectively.

Students today have easy access to large quantities of information via the Web. Information seekers now function in an environment where the simplest inquiry can result in millions of results. At the same time, undergraduates are often hesitant to ask for help in a research library. Students are not familiar with concepts such as "peer reviewed" and do not understand indices and citations and the ways in which they link to full text, print or electronic. Most do not have the skills to filter out poor quality information and to identify, evaluate, and use authoritative sources. A recent *Pew Internet and American Life Project* survey reports that only one in six users of Internet search engines can tell the difference between unbiased search results and paid advertisements.

Teaching Information Literacy Skills

To enhance students' abilities to locate and assess online resources, teaching efforts have expanded at all three libraries. Programs have grown steadily in recent years, but they do not yet reach every student. The University of Utah does not have an information literacy curriculum requirement. LibQUAL+ survey scores related to information literacy outcomes show that students are interested in more opportunities to build research self-sufficiency.

Since 1996, teaching efforts at Marriott have grown through the formation of the instruction division and recruitment of librarians to fill five new instruction positions (see Tables 5.4 and 5.5). Teaching programs are coordinated by the instruction division, with an expectation that most other librarians and many staff throughout the organization will contribute to the teaching mission. Librarians currently teach basic research concepts and strategies to students in targeted first year academic programs. Beyond this first tier, library instruction is integrated into course content across the disciplines. Staff in the Multimedia Center and throughout the library contribute to offering technology training for students.

A top priority in the latest Marriott Library Strategic Plan, 2004-2008, is to "*expand the library's teaching program to reach more undergraduates, graduate students, and faculty*." We want all of our students to master capabilities needed to seek out, evaluate, and use information. These are competencies we consider an important component of what it means to be an educated individual. Over the next

Table 5.4: University of Utah Library Teaching Statistics

Years	1996	2001	2004
Group presentations	569	2,359	1,780
Participants	5,931	30,025	32,454

Table 5.5: Student Learning Opportunities Summary

Learning Levels	Student Learning Opportunities and Library Assessments	Partners	Stats
University Orientation	New Student Orientation	Orientation Office, CTLE	2,000-4,000
First Year Initiatives	LEAP (Pre-posttest – Quantitative)	Undergraduate Studies	583 attending 10 sessions
	Internet Navigator (Credit course with assessment – quantitative)	Communication Dept.	53
	Writing 1060 (Credit course with assessment – graded)	Writing Program	5 (fall 2004 only)
	Educational Psychology 2600 (Pre-posttest – quantitative)	Educational Psychology Dept.	403 attending 3 sessions/semester
	Writing 1010 & 2010 (Student & writing instructor evaluation – qualitative)	Writing Program	2,712
	Short Classes (software instruction) (Student evaluation--qualitative)	Librarians & Computer Professionals	1, 411
Course Integrated Instruction	Outreach Through Collection Development & Selectors: Course Integrated Instruction (Student evaluations – qualitative)	Librarians Responsible for Collection Development	8,972 in 407 sessions

3 years, we intend to expand library instruction for freshmen and transfer students, giving them a foundation they can continually build on through course-integrated instruction at upper curriculum levels. The library's instruction objectives align with the president's and University's strategic priorities of enhancing the student learning experience and increasing student engagement.

The following are additional goals from the *Marriott Library Strategic Plan*, 2004-2008:

- identify cornerstone (entry into the discipline) and capstone (culmination in the discipline) courses as potential targets for course integrated library instruction
- consistently apply information literacy standards developed by the Association of College and Research Libraries to further shape the curriculum and identify learning outcomes
- improve research training for graduate students
- integrate library services and discipline specific materials into more WebCT courses
- offer training to develop more effective librarian teachers
- conduct an assessment of incoming students' information literacy abilities (intended to improve learning outcomes measurements).

First Year Teaching Initiatives

Early user feedback data have shown that undergraduates as a group had the most difficulty using the library and reported the least satisfaction. "*It's too big and confusing*" has been a common reaction from entering students. In response, Marriott Library has partnered with faculty in LEAP (Undergraduate Studies), the Department of Educational Psychology, and the Writing Program to offer instruction for first year students.

- LEAP UGS 1101 is a freshman year learning community. Student cohorts take classes taught by the same faculty member in both semesters. During the year, librarians teach 10 sessions directly related to the curriculum designed to provide students with transferable and lasting research skills. The LEAP program now enrolls over 700 students, about 25% of freshmen. All LEAP students complete a pre- and posttest, which in 2004/2005 showed a 12.3% improvement in their understanding of research skills as a result of the library instruction component of the curriculum.

- Strategies for College Success (Educational Psychology 2600) is geared to first year, transfer, and at-risk students, and teaches academic and life skills (test taking, diversity awareness, critical thinking, and library skills). A pretest and posttest measure student learning. A random sampling of 10% showed that 65.7% of questions were answered correctly in the pretest and 83.7% of questions were correct in the posttest.
- For a decade, Marriott librarians have collaborated with University Writing Program instructors to teach library use and research strategies in beginning writing classes.
- All first year law students take a required legal research and writing class taught in partnership by legal writing professors and Quinney librarians. They also offer a popular elective course in advanced legal research.
- Eccles librarians meet with first year medical students on their first day and provide a physical tour and basic information. They meet again a few days later to introduce the students to critical resources, including remote access and database information. Later in the year, students learn PubMed searching. Librarians meet with them again in their second and third years to reinforce search skills for case question research. Students learn to use literature reviews and evidence-based resources as they prepare presentations to meet the informatics requirements mandated by the American Association of Medical Colleges for all medical students. Similar orientations are provided for incoming nursing students.

The Internet Navigator Course

Internet Navigator, developed in 1996, was funded by a Higher Education Technology Initiative Grant with support from the Eccles Health Sciences Library. Navigator is an online course for students, and was completed by more than 2,000 Utah students this year. Navigator is offered at schools in Utah and institutions in New York, Michigan, Australia, Hong Kong, the Netherlands, and Egypt. It teaches research techniques using library resources and the Internet. [Lombardo, N. (1998). The Internet navigator: collaborative development and delivery of an electronic college course. P*NLA Quarterly,* 63(1), 12-14.]

Reference and Research Assistance

The libraries have developed many different ways to offer reference services in various formats and locations including 24/7 live online, e-mail, individual, and small group consultations; research labs; physical services points in the library; librarians in campus departmental locations; and campus student computing labs. Statistics show that students are not seeking help as frequently at designated reference desks as in previous years, but they are taking greater advantage of assistance offered in new ways.

Marriott assesses services via user feedback through LibQUAL+ and other surveys. LibQUAL+ survey data related to service quality have shown library services as acceptable but having room for improvement. Users tell us they are most satisfied when they can work with librarians and staff who are welcoming and knowledgeable.

To foster a more welcoming and knowledgeable staff, training programs are addressing specific service deficiencies. Marriott's employee technology training program, for example, has concentrated on making sure staff skills are at a high enough level so that they can in turn teach and help students. This training will receive renewed emphasis to prepare staff for giving increased technology support to students in new learning spaces created in the renovated Marriott building.

User survey data have further prompted the Marriott to identify the following goals to enhance services:

- improve and promote *Anytime/Any Place* services
- identify and remove user barriers related to the facilities, Website, policies and procedures, and overall accessibility
- improve Web tools including subject and course specific research guides
- improve library navigation and way finding.

A writing center was placed in the Marriott Library in 2003. This was a collaborative effort with the University Writing Program designed to assist students in their writing projects.

Other projects include the Neuro-Ophthalmology Virtual Education Library (NOVEL), an online collection of images, videos, lectures, and other digital media for neuro-ophthalmology professionals, educators, students, and patients. Begun at Eccles Library, NOVEL has been discovered by faculty worldwide who now contribute to this resource. Nothing like it existed for ophthalmology. [Candler, C. S., Uijtdehaage, S. H. J., and Dennis, S. E. (2003). "Introducing HEAL: The Health Education Assets Library," *Academic Medicine*, March, 78(3): 249-253.]

Faculty/Curriculum Support Technology Assisted Curriculum Center

In 1998, the Technology Assisted Curriculum Center was created as a University initiative housed in the Marriott Library to encourage faculty integration of technology into the curriculum. The center currently reaches over 20,000 students through 865 courses in over 107 departments. Managing WebCT for the campus provides an opportunity for the library to incorporate information literacy and library resources into every WebCT-based course. The center support for faculty has been expanded to include teaching assistants and adjunct faculty.

Eccles librarians work with faculty to help them scan documents; learn technologies such as tablet PCs; and now, with the dedication of the Health Sciences Education Building, use state-of-the-art classroom control system podiums and make full use of the technologies available in the new building.

Health Education Assets Library

To provide free digital health sciences education resources, Eccles partners with UCLA and the University of Oklahoma in the Health Education Assets Library project, using state-of-the-art Internet technologies, and promoting the preservation and exchange of useful educational assets while respecting ownership and privacy.

5.B.3 Policies, regulations, and procedures for systematic development and management of information resources, in all formats, are documented, updated, and made available to the institution's constituents.

The policies, regulations, and procedures governing development, management and use of information resources are available in several online locations. For example:

- *http://www.lib.utah.edu/colldev/2002-2003 academic profiles/2002-2003 Profiles Educational leadership and policy.html*
- *http://www.lib.utah.edu/colldev/serialsnew2005.html*
- *http://www.lib.utah.edu/policies/index.html*
- *http://www.lib.utah.edu/digital/mwdl/mwdl_content_policy.html*

5.B.4 Opportunities are provided for faculty, staff, and students to participate in the planning and development of the library and information resources and services.

The primary method for faculty, staff, and students to participate in the planning and development of the library and information resources and services is through the University Library Policies Advisory Board. This body provides input and suggestions to library staff regarding broad policy issues affecting areas that include policies, regulations, and procedures. In addition, all members of the University community are encouraged to suggest ideas relative to collection development and library policies. This can be done online or in person. Further, the libraries engage in an ongoing evaluation of their services that permits users to provide feedback on the quality and quantity of information resources and services.

5.B.5 Computing and communications services are used to extend the boundaries in obtaining information and data from other sources, including regional, national, and international networks.

The libraries at the University led the development of the campus computer network, installation of the first network connecting all colleges and universities in the state, and collaborated in the establishment of the Utah Education Network, serving all of higher education, public education, and the public libraries. Oversight is provided by the network steering committee. The libraries are represented on the steering committee.

The libraries provide significant leadership in exploration of advanced computing and networking technologies. The use of digital video technologies for videoconferencing and Internet broadcasts has been a major initiative. Major lectures, seminar series, and classes are regularly broadcast by the libraries. During the last 2 years, the libraries have led a campus subcommittee to foster the deployment of wireless networks, resulting in technical and funding guidelines for all campus networks.

STANDARD 5.C – FACILITIES AND ACCESS

5.C.1 Library and information resources are readily accessible to all students and faculty. These resources and services are sufficient in quality, level, breadth, quantity, and currency to meet the requirements of the educational program.

Building a new generation of state of the art facilities has been a University priority, resulting in extensive renovation of existing facilities and the construction of new facilities.

Library facilities on campus include:

Spencer S. Eccles Health Sciences Library serves the educational, research, and clinical needs of health professionals, students and researchers at the University of Utah Health Sciences Center and throughout the Intermountain region. Eccles Library is a Regional Medical Library for the Midcontinental Region in the National Network of Libraries of Medicine awarded by the National Library of Medicine.

The Hope Fox Eccles Clinical Library, a branch of Eccles Library, provides health information to patients, visitors, and staff of University Hospital, and to the general community.

Spencer F. & Cleone P. Eccles Health Sciences Education Building is a major example of collaboration. Funded by the 2002 Utah State legislature and major gifts to the University, the building, opened in September 2005, provides a state of the art, student focused, teaching center for the School of Medicine, College of Health, College of Nursing, and College of Pharmacy. The future of health care will require interdisciplinary health care teams and the Health Sciences Education Building allows students to work together in teams. The Health Sciences Education Building is a 158,000 square feet, five-story building connected to the Eccles Health Sciences Library. Nearly 75% of the building is dedicated instructional space, including an advanced clinical skills training area, teaching laboratory, computer suite, small-group seminar rooms, and distance education classrooms. Eccles Library has taken on the management of the building on behalf of all the health sciences colleges.

S. J. Quinney Law Library houses 320,000 volumes including statues, codes, and regulations; court reports and law related treatises; journals; and government documents. The library is a selective U.S. government depository. Most of the collection does not circulate. Quinney, as the only public law library in the state, serves the state's legal profession.

J. Willard Marriott Library is undergoing major renovation to achieve seismic safety and create a premier campus facility for teaching and learning that will augment the University's instructional capabilities with new classrooms and collaborative work space, an Information Commons, and the Automated Retrieval Center to hold over two million volumes.

Marriott Library was constructed in 1968 as a 300,000 square foot facility. Over the next two decades, user spaces were removed to make room for collections, office space, and new functions such as preservation, instruction, and student computing. By 1995, Marriott could seat only 4% of the student body. (American Library Association standards recommend 20%.) As the building predates the heavy adoption of technology, it has been difficult to add technology spaces.

In 1996, the library was expanded with a 200,000 square foot wing housing stacks, high-tech classrooms, a multimedia center, and significant areas of user seating. The addition was constructed as a separate building, connected to the original structure by three links on each floor. The building is vast (one of the largest academic libraries in the west). The two buildings were not well integrated, making it confusing to locate resources.

The library is a comfortable place for students to gather in groups and to use as a resting place between classes. A large windowed group study space, known as "The Fishbowl," now unavailable due to construction, was a popular area where students gathered in a setting that encouraged conversation. At the same time, quiet study nooks can be found throughout the five floors.

Wired carrels are located throughout the building and the library is also a wireless facility. The Special Collections area, on the fifth floor, has a separate reading room where users can use original materials and plug in their laptops.

As collections and services have grown, new functions and resources have again encroached on study spaces.

In LibQUAL+ studies in 2001and 2004, users rated the Marriott Library high for its:

- community space for group learning and group study
- comfortable and inviting location
- quiet space for individual activities
- library space that inspires study and learning.

Marriott's gate count doubled, from 750,000 to 1.5 million between 1996 and 2004. Rising gate counts attest to user appreciation of library learning spaces despite way finding difficulties, inadequate technology spaces in the older building, and seismic safety concerns.

The need for collection, services, and technology enhanced learning spaces and a more recent analysis calling attention to seismic problems led to the planning and funding of a major renovation project now underway. We are making the building earthquake safe and putting resources where students want them, with the most used collections and services on the bottom two levels.

Marriott Library Multimedia Center and Student Computing Labs

The Multimedia Center is a major hub of undergraduate life on campus, providing a high quality computing/network infrastructure for students. Of all Marriott Library visitors, one third are headed to the Multimedia Center and of those, 80% are undergraduates.

Holding over 250 computers with over 350 software applications, the Multimedia Center is open from 7:00 a.m. to 2:00 a.m. on the busiest days of the week. Likewise, the six electronic classrooms are in very high demand by faculty. A fine arts classroom that accommodates the use of oversized art books and digital capabilities is on the second floor.

The Multimedia Center provides up-to-date hardware and software, and the staff works with faculty and students to keep abreast of constantly evolving needs.

Students have access to 270 PCs and Macs, scanners, video editing, CD/DVD burners, audio-video media stations, audio editing, foreign multistandard video, an interactive video relay station for hearing impaired students, and several ADA PCs. Among the class-specific software is SAS 9.13, SPSS 13, JEdit 4.1, LabView 7.0, and Macromedia Studio MX 2004. Service counter staff assisted with 54,200 questions across all labs from July 1, 2004 to March 15, 2005, which included helping 1,500 patrons set up laptop access.

Marriott houses two PC teaching labs with 66 workstations, three Macintosh teaching labs with 54 workstations, and five classrooms that include instructor stations, video projection, and surround sound systems. The Multimedia Center also provides audio-visual equipment including slide projectors, foreign standard DVD players, cassette players, and laser disk players for use in the center or for check out by faculty.

Student Computing Labs

The Marriott Library Multimedia Center operates three other student labs on campus:

Crimson Commons Underground Student Lab is housed in the Olpin Student Union Building. The Lab opened in August 2005 and has 122 Macintosh and PCs systems, including and Mac scanners. It also includes an ADA PC for disabled student access.

The Benchmark Heritage Center and Sage Point open labs each provides 16 Macintosh and PC systems and a Macintosh teaching lab with 24 systems featuring video projection and surround sound systems.

Storage (Automated Retrieval Center or Remote) and Weeding

Demands for library space are growing faster than can be met. "Library as Place" has become a catch phrase, but it accurately captures what students want in academic library buildings. Students request more individual and group study space. Faculty want to teach in library classrooms. Eccles Library's opportunities with the new Health Sciences Education Building mean more library involvement with teaching faculty. They also cleared library space to create student study space linking the Eccles Library to the new building.

Units such as the Technology Assisted Curriculum Center are best located in the library buildings, which already use technology intensively and which house the content faculty typically want students to use.

The Utah Academic Library Consortium's Distributed Print Archive means that the six research libraries in Utah and Nevada will split responsibilities to hold journal back runs and

Closing the Loop: New Approaches to Storage

The libraries are freeing space for these new partners by developing alternative ways to keep the physical collection available. For Marriott, a new Automated Retrieval Center to hold over two million volumes will complement the library's existing storage building that holds library materials and University Archives. With other state, regional, and national libraries, we are building archival access to the journal literature by developing online repositories for digital archiving and agreements to archive print in ways that split the cost in space and staff among groups of libraries. In the future, libraries will be able to safely discard some little-used print back-runs.

old reference sets. Scholars may occasionally need Chemical Abstracts in print or older copies of Books In Print to trace the history of particular works, but we need a few copies around the country, not one in every library.

Electronic archiving is a new challenge. The libraries may own the journals—but stacks of electrons are hard to shelve. We are building a LOCKSS (Lots of Copies Keep Stuff Safe) system so we will be able to take delivery of our own electrons, as are Brigham Young University and the Greater Western Library Alliance. The Distributed Print Repository, CONTENTdm, and the LOCKSS systems are part of an international movement to add structure, access, and reliability to archival documents in both print and electronic forms.

University Records Center and Archives

The University Archives holds primary archival collections that document the history of the University of Utah. Records Management handles the records of the University, ensuring that internal needs and legal requirements are fulfilled. Archives and Records Management face the same dual challenges as do library collections—space is running out and secure archiving protocols are needed for a world in which University records are born digital.

The Marriott Library storage facility was remodeled from its previous existence as a National Guard Armory in July of 1990 to house Archives and Records Management and the Gifts Department. They occupy approximately 35,000 square feet, at 666 Guardsman Way, about one-half mile from the Marriott Library.

Math Library

The Mathematics Library, a branch of the Marriott Library in the Department of Mathematics in the Widstoe Building, holds 12,000 books and 300 graduate-level journals as well as research materials in mathematics. Math materials of broader interest are part of the collection at Marriott Library. The Math Library provides access to the *MathSciNet* index, a reference collection, course reserves, and a small department collection for undergraduates. Materials follow Marriott circulation policies. Next door, the T. Benny Rushing Mathematics Center offers support services for undergraduates including a student computing lab, access to Matlab, Maple, and other math software, free math tutoring, and group study rooms.

The University of Utah Press

The press, which became part of the Marriott Library in 2005, currently occupies inadequate and poorly located space in the Campus Services Building. Plans are in place for the press to be headquartered in the renovated Marriott building. An upcoming organizational review will permit us to examine the role of the press as a library publisher and to build relationships to benefit our users.

Campus Reading Rooms

Some academic departments support reading rooms, which range from a conference room with a few donated books and journals to outstanding student facilities, such as the McKay Music Library—a state-of-the-art facility offering a specialized computer lab and sound and score collections. The libraries are reaching out to these groups to identify possibilities for collaboration.

5.C.2 In cases of cooperative arrangements with other library and information resources, formal documented agreements are established. These cooperative relationships and externally provided information sources complement rather than substitute for the institution's own adequate and accessible core collection and services.

The University of Utah libraries are involved in several cooperative arrangements with other libraries and information resources that are designed to better serve our users. Each of these consortia arrangements is described below.

Utah Academic Library Consortium

Academic libraries throughout Utah and Nevada from 2-year schools to the University of Utah share an electronic collection containing over 850 journals, 6,000 e-books, major indexing, full-text databases, and host the growing Mountain West Digital Library. The consortium carries on a tradition begun 35 years ago of allowing students in higher education to use and borrow from any library in the state. The consortium also provides interlibrary loans service.

The University libraries were key in the expansion of the Utah Academic Library Consortium and host many of its services. For example, Eccles helps smaller libraries with Horizon library systems, Marriott hosts the Mountain West Digital Library, and the Marriott Collection Development department does the licensing and maintenance of the database contracts and creates and hosts the consortium Web presence.

The consortium has a record of being first in new initiatives. The consortium became the first statewide member of the Scholarly Publishing and Academic Resources Coalition, in part to challenge the assumption that only research libraries have a stake in a more affordable future for scholarly communications.

The Utah Academic Library Consortium became the first statewide member of JSTOR, the scholarly journal archive. Again, it was widely assumed that smaller schools, which do not routinely keep back issues of the few print journal subscriptions they have, would not be interested in an initiative like JSTOR. Usage statistics have shown that this is untrue, with a steady consortium-wide increase in usage each year.

In 1994, Utah was among the first to build a statewide network. Utah remains at the forefront with the creation of the Mountain West Digital Library, linking libraries in Utah, Nevada, and Idaho. The consortium established a statewide infrastructure to house digitized materials, and now are using that to create one of the very first such institutional repositories.

Pioneer: Utah's Online Library

Utah was the second state in the nation behind Georgia to establish a statewide library serving all citizens of the state. Pioneer offers core library collections of several dozen databases and, through a system of Pioneer advocates, works to spread information literacy awareness and skills through the state.

Pioneer was conceived by the Eccles Health sciences Library, which reached out to bring the state together. Pioneer resources are maintained primarily on the University of Utah campus, at the Utah Education Network. The

Web page and database management for the higher education portion of the Pioneer resources are hosted at Marriott.

Utah Education Network provides professional level publicity, including TV spots and brochures. Through the network and its cadre of trainers who visit schools regularly, we can reach every K-12 teacher in the state. The network newsletter, in which Pioneer has full page ads, is sent to every teacher twice a year.

In 1997, Pioneer won the Utah State Chief Information Officer's Award presented by Governor Michael O. Leavitt, and in 2000 Wayne Peay was named to the American Library Association / Association of Library Trustees and Advocates: National Honor Roll 2000 for Pioneer efforts. Pioneer's 10th birthday will be celebrated this year, and efforts are underway to honor that milestone.

Greater Western Library Alliance

Marriott Library (together with Utah State University and Brigham Young University) joined the Greater Western Library Alliance, formerly Big Ten Plus, in 2000. The alliance provides expedited interlibrary lending and has negotiated a number of favorable database contracts. The alliance's Digital Initiative, led by Marriott Library, hosts the Western Waters Project, funded by $249,736 from the Institute of Museum and Library Services.

Association of Research Libraries

The University is one of five Association of Research Libraries members in the Mountain West region. The association provides training and leadership activities, and has been key to establishing a national research library agenda. Former Marriott director Sarah Michalak served on the association board of directors.

Scholarly Publishing and Academic Resources Coalition

The coalition is an Association of Research Libraries initiative that is having significant impact on the system of scholarly communication, encouraging the movement of journals from high priced publishers to scholarly societies and University presses, and leading faculty to reconsider their authorship/editor/reviewer roles. Marriott's previous director was a coalition founder and our new director has been elected to the coalition steering committee.

Desert States Law Libraries Consortium

A group of academic law libraries from a five-state region, including Utah, Colorado, New Mexico, Arizona, and Nevada, works on collections, licensing, and services coordination. The consortium is a partner of the Western Waters Digital Library project.

American Association of Law Libraries

This organization was founded in 1906 to promote and enhance the value of law libraries to the legal and public communities, foster the profession of law librarianship, and provide leadership in the field of legal information.

National Network of Libraries of Medicine – Mid-Continental Region

A 2001-2006 contract awarded by the National Library of Medicine is providing document delivery services, outreach and education programs, and public health information for a six-state region.

Eccles International Document Delivery Service

Medical institutions outside the U.S. need access to the latest health information. Using the Internet and electronic mail, current literature is delivered to remote sites within 48 hours. The international document delivery service is made possible through PubMed, Loansome Doc, and traditional interlibrary loan services.

Cyprus Medical Library Collaboration

This is an electronic document delivery system and full-text database of Cypriot medical literature, hosted by Eccles Library.

Because the University of Utah is a highly decentralized institution, collaboration is essential to address institution-wide programs and services and to make efficient use of scarce resources. The environment is advantageous for libraries, offering many opportunities to participate in and often lead institution-wide efforts. The University's Information Technology Council provides coordination for campus computing and network services. The library directors are members of this Information Technology Council and for 2 years, the director of the Marriott Library chaired the council. From its inception in 1985, the University's Student Computing Task Force has been the single most important source of funding for instructional computing and technology infrastructure, providing approximately $1 million a year. The University's libraries have always been represented on the task force, librarians chaired the task force for 5 years, and the libraries have received very significant funding from this source. Funding allocated to the libraries has increased from $521,129 in 1996-97 to $1,256,971 in 2004-2005.

STANDARD 5.D – PERSONNEL AND MANAGEMENT

5.D.1 The institution employs a sufficient number of library and information resources staff to provide assistance to users of the library and to students at other learning resources sites.

Recruiting and maintaining the high level staff the libraries need to meet objectives is always a very substantial challenge. We know we must build capacity through reallocating resources, consolidating, and economizing in traditional library areas in order to free resources for the demands placed on us to go in new directions. This has been an ongoing challenge. The 1996 Northwest Association of Schools and Colleges Evaluation Committee report noted: "*Some significant progress has been made in expanding the size of library staffs in the three libraries and in providing better salaries for them. However, it has not been enough. Library staff members are coming to play a more central role in instruction and research as information storage and retrieval finds new digital forms and as users have access, through the internet, to an exploding world of information resources*." Table 5.6 displays a comparison with library staffing between 1996 and 2004.

The University has made clear progress in addressing most staff shortages, but we still have not increased our overall ranking with respect to professional staff, dropping from 60th to 62nd over the past decade. At the same time, our ranking in the areas of support staff, student assistants, and combined staff has improved.

5.D.2 Library and information resources staff include qualified professional and technical support staff, with required specific competencies, whose responsibilities are clearly defined.

The director of Marriott Library reports to the Senior Vice President for Academic Affairs and is a member of the Council of Academic Deans. The director of the Eccles Library reports to the Senior Vice President for Health Sciences, and the director of the Quinney Law Library reports to the dean of the College of Law. The three directors form the leadership team of the University libraries and work closely together.

Librarians hold faculty appointments and are reviewed according to the University libraries

Table 5.6: Library Staffing Comparison 1996 - 2004

	1996		2004	
	Number	ARL* ranking	Number	ARL ranking
Professional staff	70	60	73	62
Support staff	161	42	193	26
FTE student assistants	87	33	85	27
Combined staff	318	39	351	30

*Association of Research Libraries

retention, promotion, and tenure document. Retention, promotion, and tenure procedures have been revised and the newly revised procedures will be implemented in 2006. The libraries employ an increasing number of nonlibrarian professionals as new areas require new professional level training and skills, including human resources, building management, technology, project administration, rare books curators, records management, archivists, and financial professionals. See Table 5.6.

Noncompetitive salaries have become an increasing problem, especially with the retention of highly marketable technology professionals.

University libraries offer a competitive starting librarian's salary at $38,000, but we are often unable to provide adequate raises. Compaction is an ongoing problem that, coupled with recent years of inadequate salary increases, diminishes morale.

The Association of Research Libraries Annual Salary Survey Rankings (Eccles and Quinney rankings are among medical and law libraries respectively) show progress in increasing entry-level salaries for new librarians, but still are cause for concern in median and average salary data.

The Association of Research Libraries does not collect statistics for career staff, but it is safe to infer that salaries for this group are also lower than average. At Marriott, 30% of the full-time staff has a salary of under $25,000 per year.

5.D.3 The institution provides opportunities for professional growth for library and information resources professional staff.

With limited resources, the University libraries work very hard to provide opportunities for a broad range of growth and development. The libraries offer active programs of staff and professional development. At Marriott, local training is coordinated by the Employee Development Committee, through opportunities such as local or regional Association for Research Libraries Office of Leadership and Management Services workshops, and increasingly through Web-based training and seminars. Since 1999, Eccles Library has offered the Library and Information Technology Forum to inform the University of Utah community about electronic information resources and current trends in the use of computers and online technologies for accessing these resources. Quinney Law Library provides training opportunities for its staff via the regional Bibliographical Center for Research library consortium, through campus training opportunities, etc. Staff also actively participates in the Utah Academic Library Consortium committees, which periodically provide targeted training for specific areas such as cataloging.

Marriott Library's staff development officer position was relinquished in a budget cut, thus limiting training opportunities for its staff. Working in a relatively isolated state means we need to send people out and bring people in, a fact made especially difficult as we have limited travel funding. Marriott spends $70,000 a year for all travel and Eccles gives each librarian or professional staff $1,500 annually. Quinney provides $1,200 per year and pays staff memberships in the American Association of Law Librarians and other groups. A recent daylong series of meetings held at Marriott Library with Joan Lippincott, Associate Executive Director of the Coalition for Networked Information, provided library staff an opportunity to explore ideas about the information commons and technology support for teaching and research.

Marriott Library supports a program called Professional Development Time that offers up to 22 days of approved leave per year for librarians to work on research, publications, or other professional projects. In addition, the Marriott Employee Staff Association plans and carries out a variety of social events to bring staff together in a more casual environment.

University of Utah librarians have been chosen for notable training opportunities, including University faculty leadership seminars, the Mountain Plains Library Association Leadership Institute at Ghost Ranch, New Mexico, and the Frye Leadership Institute. Librarians provide state, regional, and national training in preservation and book arts.

At Marriott, communication is an ongoing concern. We know we need to improve this and recognize how challenging it will be to reach a truly satisfactory level. We provide access to important personnel and other information via our staff intranet; it holds tutorials, forms, important library documents, and personnel information. For over a decade, all staff at the three libraries have received a daily e-mail newsletter of news and announcements. The Eccles Library publishes a quarterly newsletter to faculty and staff inside and outside libraries, *IAMS*, and Marriott has a similar one called *Inline*. Marriott holds monthly all staff meetings to inform staff of events and activities, to report on University-level actions and decisions, and gather staff input for a variety of decisions and directions.

5.D.4 Library and information resources and services are organized to support the accomplishment of institutional mission and goals. Organizational arrangements recognize the need for service linkage among complementary resource bases (e.g., libraries, computing facilities, instructional media and telecommunication centers).

For nearly two decades, the libraries have been the preeminent centers for instructional computing. The Marriott Library's instructional computing facilities have been, since the day they opened, the most heavily used on campus. The Quinney Law Library manages the College of Law's instructional computing facility. At the Health Sciences Center, the Spencer S. Eccles Health Sciences Library provides instructional computing services to the Colleges of Nursing, Pharmacy, and Health and the School of Medicine. The libraries at the University led the development of the campus computer network, the installation of the first network connecting all of the colleges and universities in the state, and collaborated in the establishment of the Utah Education Network, which now serves all of higher education, public education, and the public libraries in the State of Utah. Oversight is provided by the network steering committee and the libraries at the University are represented on this steering committee.

5.D.5 The institution consults library and information resources staff in curriculum development.

Each library assigns subject selectors to take primary responsibility for each academic department, a role that generally includes collection development, specialized reference, and instruction assignments. Increasingly, librarians work with faculty to produce course-integrated learning opportunities for students at various levels of their university education, including first year students, newly declared majors, and incoming graduate students. The subject selector is also responsible for identifying and working with new faculty each academic year. Marriott maintains a selector's manual and selector's toolkit along with budget, expenditure and use figures for each subject on the collection development Web page (*http://www.lib.utah.edu/colldev/index.html*).

Quinney's collection development policy has support for the curriculum as its primary focus, and librarians work with faculty to ensure materials they require are available.

In an online world, faculty increasingly see themselves as "library users"—not Marriott or Eccles or Quinney users. They describe the complications resulting from needing to know the individual resources and services of the three libraries. In response, we are creating interlibrary teams. These teams provide faculty outreach and departmental orientations, help explain new technologies, and review collection development and assessment programs.

5.D.6 The institution provides sufficient financial support for library and information resources and services, and for their maintenance and security.

The libraries are striving to move in a number of new directions important to the University. We need to make major investments in information technology, the institutional repository, scholarly communications and digital technologies. We are reallocating resources, consolidating, and economizing in order to create the capacity to handle these new priorities.

The libraries badly need new funding for acquisitions and staffing. The University has made every effort to allocate funds to these ends. The legislature has also responded significantly (though not in the past few years), allocating nearly $2 million to Utah Academic Library Consortium, a portion of which comes directly to the University libraries (this year $611,006 to Marriott, $96,474 to Quinney, $96,477 to Eccles and $197,477 into a strategic investment fund). In addition, the Database Coordination Subcommittee provides $100,000 annually to assist with undergraduate databases. The Student Computing Task Force provides approximately $1 million a year to run the student labs. In recent years, we have been allocated a piece of research overhead funding to help with journal costs.

Overall expenditures for the libraries went from $18,149,936 in 1996 to $22,230,041 for 2003-2004. The increase in funding is due to several factors. Marriott Library absorbed the Computer Center, its staff, and functions in 1997. Significant expansion of student computing operations brought additional funds, expanding further when the library began to manage the new student residence halls computing labs. The Technology Assisted Curriculum Center was added to the library's jurisdiction in 1999.

In the last few years, University libraries have received three large federal grants for digital initiatives. We previously lacked grant funding because we could not compete nationally, but now have the programs and infrastructure to demonstrate our capability and capacity. The Utah Digital Newspaper program has received $470,000 from the Institute of Museum and Library Services and $353,000 from the National Endowment for the Humanities. The Western Waters Digital Library has received $452,826 from the Institute of Museum and Library Services. In addition, Utah Digital Newspapers has received three Library Services and Technology Act grants from the Utah State Library totaling $326,000.

For fiscal year 2004, the Spencer S. Eccles Health Sciences Library generated $1.6 million in extramural funding from grants and contracts. This funding accounted for nearly 40% of the library's budget and ranked second in national rankings reported by the Association of Academic Health Sciences Libraries. The reported mean for health sciences libraries was $137,000. Sources of funding included the National Library of Medicine, the National Science Foundation, Institute of Museum and Library Services, and local foundations.

The largest source of outside funding is the National Library of Medicine, supporting the library as the Regional Medical Library for the Midcontinental Region of the National Network of Libraries of Medicine. The library was directly involved in fund-raising for the Spencer F. and Cleone P. Eccles Health Sciences Education Building that has, to date, raised over $7 million. Finally, the library continues to receive gifts for its endowment, which now ranks 16th among health sciences libraries for total income.

Development

The development success of Marriott Library is due to both individual efforts in finding funding by groups throughout the building and the teamwork approach of the administrative team, led by the development director. The library's full-time development director oversees the Renovation-Innovation Capital Campaign ($71.2 million total goal) while at the same time building an annual fund program to generate flexible funding for the organization. The capital campaign project to overhaul the 1968 building will result in eight new high-tech classrooms, an information commons, an automated storage system for over 2 million books, and a cyber café. The Friends of the Library group contributes to outreach efforts to campus and community with the Books and Authors Lecture Series and an annual banquet that features a prominent author as speaker. A major gifts program generates $200,000 – $600,000 each year, used to purchase rare books and manuscript collections and process collections so they can be used by researchers. In 2004-2005, the Marriott Library received private gifts totaling $2,260,582 from 459 donors. It also received $48 million in state funds for the Renovation-Innovation Capital Campaign.

STANDARD 5.E – PLANNING AND EVALUATION

5.E.1 The institution has a planning process that involves users, library and information resource staff, faculty, and administrators.

Because they report to the Senior Vice Presidents for Academic Affairs and for Health Sciences, the library directors participate in planning at the institution's highest levels. The involvement of the libraries on the University's Information Technology Council provides them with opportunities to contribute to the institution's information technology planning. Library representatives have participated in campus planning for technology applications that include video-on-demand, the campus portal, the campus e-mail system, next generation voice, knowledge management, and the University Website. The Eccles Health Sciences Library is represented on the Health Sciences Information Technology Core Steering Committee and recently was responsible for the development of the Academic Information Technology Strategic Plan for the Health Sciences Center.

Planning for all new majors, minors, and graduate degrees is done in consultation with the libraries to ensure that new curricular areas receive adequate support. As the curriculum evolves and expands, the libraries make active efforts to address the information needs of users through collections, reference and research assistance, and information literacy teaching for students enrolled in these areas of study.

As appropriate, the libraries inventory and assess collection holdings and user services in response to department and college accreditation requirements.

The Library Policy Advisory Committee, a University Academic Senate-elected committee of faculty, students, and library representatives, has had irregular meeting schedules in recent years and uneven success in providing useful input to the campus libraries. The libraries need to find ways to make this committee a more active participant in planning and assessing services.

Marriott Library has conducted planning processes resulting in three strategic plans written in 1996, 2000, and 2004. The strategic priorities delineated in the broader planning documents have been detailed more specifically through annual "SMART Goals" submitted to the Senior Vice President for Academic Affairs. At every level of planning, priorities and goals have been developed with user feedback and needs as important guides.

As illustrated throughout this self-study, the libraries regularly and routinely solicit user input as we develop collections, initiate services, and change policies. Every effort is made to find a way to "say yes" to user requests, whether for a collection item or a need related to services, access, or facilities. We have a selector liaison system that designates librarians for specific departments and specific format purchases. The liaisons seek input from faculty, select materials, and plan services to meet user needs. We have an online "Suggest a Purchase" form, which students and faculty use quite heavily for books, journals, and electronic materials. We have added books and journals as a result of direct user requests. Eccles material is selected by the collection development librarian with input from patrons, staff, and faculty.

5.E.2 The institution, in its planning, recognizes the need for management and technical linkages among information resource bases (e.g., libraries, instructional computing, media production and distribution centers, and telecommunications networks).

The Project on the Future of Higher Education anticipates significant loss of budget and purchasing power over the next 5 to 10 years. To ensure mediocrity does not become an ever more apt description of our collections, and so we can meet the needs of future users, we must move transitioning and transformative options to the top of our planning and priorities. We need to focus on the total and total projected future costs; we need to work to transform ongoing costs to, mostly, one-time costs (by supporting open access and collaborative projects); and we need to be careful not to let the very visible journal pricing increases over-influence our budget decisions. We must maintain our focus on user needs (and that may mean obtaining a journal article by means other than subscribing).

The arrival of a new Marriott Library director in 2005 gives us the opportunity for a comprehensive review of our organization, roles of librarians and staff, and how we do ongoing planning. Quinney librarians are also engaged in a strategic directions planning process, developing a document to be in place for the new College of Law dean's arrival in spring, 2006.

5.E.3 The institution regularly and systematically evaluates the quality, adequacy, and utilization of its library and information resources and services, including those provided through cooperative arrangements, and at all locations where courses, programs, or degrees are offered. The institution uses the results of the evaluations to improve the effectiveness of these resources.

Assessment/User Feedback

Each library uses a variety of assessment and feedback mechanisms to learn about user needs and opinions. Some procedures address a broad variety of user issues whereas others are narrowly focused. For example, Marriott Library's User Feedback Program started in 1995 when we recognized that we had large amounts of quantitative statistical data about collections, staffing, funding, and library users, but little or no information that provided evidence and analysis of user satisfaction with the library or our success in supporting patrons' academic pursuits. During the past decade, user voices have become a key component of planning, priority setting, and decision-making through assessment procedures including surveys, suggestion boxes, interviews, usability studies, and focus groups.

Two Marriott surveys have provided comparative user input over time (see Table 5.7).

- User satisfaction survey—locally developed user satisfaction survey that asks users to rate basic library services has been conducted biennially since 1995. It is administered in the library, resulting in undergraduate students being the largest group of respondents.
- Association of Research Libraries LibQUAL+ survey—measures user expectations and perceptions related to services, collections and access, and library as place. It was conducted in 2001 and 2004 and is planned again for spring 2006.

The libraries plan to expand outcomes assessment. A Marriott goal in the 2004-2008 strategic plan calls for improved assessment of teaching, a national library teaching assessment initiative, such as the Association of Research Libraries Standardized Assessment of Information Literacy Skills Program.

Table 5.7: Major Marriott Library Feedback Methods

Measure	Started	Frequency
Locally developed user survey	1995	Biennial
Association of Research Librarians LibQUAL+ survey (measures user expectations and perceptions related to services, collections and access, and library as place)	2001	2001 2004 Planned for 2006
Tell Us online and print suggestion box	1995	Ongoing
Multimedia Center survey	2004	Ongoing, late each semester
Website and catalog usability studies	1999, 2005	Periodic
Library catalog feedback form	1995	Ongoing

Summary

Commendations

- The libraries focus on users. Each has feedback mechanisms and a track record of addressing problems and anticipating needs. Changes range from small and simple B adding whiteboards, buying requested books - to the founding of the Technology Assisted Curriculum Center and the role of Eccles Library in the Health Sciences Education Building.
- The libraries are building the anytime/anyplace library, offering access 24 hours a day from work and home. They have built outstanding online collections, along with access to online services.
- With the 1996 Marriott renovation, the first piece of a new generation of buildings was in place. The remodeled Eccles Library and the Health Science Education Building now serve upper campus. When Marriott's rebuilding is completed, campus facilities will rival any in the country.
- The libraries provide leadership in information technology and its integration into teaching and research. With the Utah Academic Library Consortium, the Utah Education Network, the Greater Western Library Alliance, and Pioneer - Utah's Online Library, the Libraries have led the creation of the state's digital library. The Utah Newspaper Project, Mountain West Digital Library, and the Western Waters Project are examples of collaborative successes.

Closing the Loop: Responding to Users' Suggestions

Other user feedback mechanisms include a "TellUs" suggestion box in print and online formats where users can comment, a Multimedia Center survey focused on the center services, usability studies for new electronic services and tools including the Website and library catalog, focus groups, interviews with faculty and graduate students, and the always available "library catalog feedback form." Users frequently use the e-mail reference service to give feedback and express concerns. The recurring schedule for library surveys has made it possible to gauge how we are doing in areas judged by users to need improvement. User feedback guides the libraries to tackle problems such as addressing inaccurate catalog and circulation records, making sure staff are knowledgeable and welcoming, improving remote access to electronic resources, matching journal holdings with research needs, increasing electronic resources, increasing up-to-date computing equipment and software, offering more software training, expanding library hours, adding art to improve the library environment, improving outreach, making popular, recreational reading titles easier to browse, allowing borrowers to see their circulation records, adding library resources to WebCT course sites, and more.

Challenges

- The libraries cannot purchase many needed journals. New online publications, collections, and back files are not affordable. Users have problems finding and connecting to what we do own. There is no simple or local solution to any of these issues.
- The libraries must invest in the future first — working with faculty to create change in the system of scholarly communication and building the infrastructure for a born digital world. The institutional repository, print and digital preservation, continuing growth in digital publication efforts, and the University of Utah Press are pieces of the solution.
- The libraries do not yet reach every student with information literacy and learning opportunities. Information skills need to be integrated more fully into the curriculum.
- The libraries must continue to raise funds for the Marriott renovation (at least $10m) and other initiatives. The libraries have successfully competed for national grants and are working towards more.
- To be competitive in hiring and retention, the ibraries must find ways to raise salaries. As an example of the problem, Marriott librarians rank 93rd in average ARL salary.
- The libraries must reshape their organizations to direct efforts to new tasks and initiatives while continuing to build and to act as stewards and interpreters for traditional collections.

STANDARD 6
GOVERNANCE AND ADMINISTRATION

TOGETHER WE REACH.

STANDARD 6.A – GOVERNANCE SYSTEM

6.A.1 The system of governance ensures that the authority, responsibilities, and relationships among and between the governing board, administrators, faculty, staff, and students are clearly described in a constitution, charter, bylaws, or equivalent policy document.

Utah statutes, policies of the Board of Regents and Board of Trustees, and similar documents outline clearly the relative responsibilities, authority, and relationships among all of the various individuals, organizations, and agencies involved in higher education in the state. The location of these documents is described below in section 6.B.

6.A.2 The governing board, administrators, faculty, staff, and students understand and fulfill their respective roles as set forth by the governance system's official documents.

A thorough series of checks and balances helps ensure that the roles of all members of the University community are carried out appropriately and in concert with existing policies, laws, and guidelines. Rare are the times when one of the members is viewed as not fulfilling an identified role. There are inherent tensions in the relative authority and general responsibilities of faculty, administrators, and the governing boards, but these have not been problematic.

6.A.3 The system of governance makes provision for the consideration of faculty, student, and staff views and judgments in those matters in which these constituencies have a direct and reasonable interest.

The rights of faculty, students, and staff to participate in matters affecting them are provided for in several documents. They include the University *Policies and Procedures Manual*, *Faculty Handbook*, *Student Handbook*, the *Code of Student Rights and Responsibilities*, catalogs, and similar publications.

6.A.4 In a multi-unit governance system (state or district), the division of authority and responsibility between the central system office and the institution is clearly delineated. System policies, regulations, and procedures concerning the institution are clearly defined and equitably administered.

Not applicable. The University of Utah is not part of a multiunit governance system.

STANDARD 6.B – GOVERNING BOARD

6.B.1 The board includes adequate representation of the public interest and/or the diverse elements of the institution's constituencies and does not include a predominant representation by employees of the institution. The president may be an ex officio member of the board, but not its chair. Policies are in place that provide for continuity and change of board membership.

The Utah System of Higher Education Website states, *"The Utah State Board of Regents was formed in 1969 as a governing body for the Utah System of Higher Education. The Board consists of eighteen residents of the State; fifteen Board of Regents and one student regent are appointed by the Governor of Utah and two members of the State Board of Education, appointed by the chair of that board, serve as nonvoting members. The Board oversees the establishment of policies and procedures, executive appointments, master planning, budget and finance, proposals for legislation, develops governmental relationships, and performs administrative unit and program approval for higher education for the State of Utah."* This structure and the detailed provisions of Utah Code (*http://www.le.state.ut.us/~code/TITLE53B/htm/53B01006.htm*) help ensure that the public is represented by the Board of Regents and preclude any situation where employees could be a dominant segment of the board. Provisions for continuity and change in board membership are described in the Utah Code.

6.B.2 The board acts only as a committee of the whole. No member or subcommittee of the board acts in place of the board except by formal delegation of authority.

The only committee that is empowered to act in place of the Board of Regents is its executive committee, which has been formally delegated this responsibility via the board bylaws. Other committees take action in the form of recommendations to the entire board, which must then approve the lower body's decision.

6.B.3 The duties, responsibilities, ethical conduct requirements, organizational structure, and operating procedures of the board are clearly defined in a published policy document.

Board of Regents' bylaws spelling out duties, responsibilities, operating procedures, and organizational structure of the board can be found at *http://www.utahsbr.edu/policy/r120.htm*. Ethical obligations of the Board of Regents are also listed here. A list of current members with their profiles is provided at *http://www.utahsbr.edu/policy/r1.htm*. Terms of office for current and former Board of Regents members are spelled out at *http://www.utahsbr.edu/policy/r2.htm* and in Utah statutes at *http://www.le.state.ut.us/~code/TITLE53B/htm/53B01006.htm*. Information for the University of Utah Board of Trustees is located at *http://www.utahsbr.edu/policy/r120.htm.*

6.B.4 Consistent with established board policy, the board selects, appoints, and regularly evaluates the chief executive officer.

Board of Regents' bylaws state the following with regard to selection of presidents: "*The State Board of Regents after consulting with the Institutional Board of Trustees shall appoint and hire a President for each state research and teaching University, state metropolitan/regional University, state college, state community college, the Utah College of Applied Technology, and other institutions in the state system of higher education, each to serve at the pleasure of the State Board of Regents and at such salary as it may determine and fix (Utah Code '53B-1-103, '53B-2-106 and '53B-2a-102). Presidents of member institutions are responsible to the State Board of Regents. Presidents have the assistance of an Institutional Board of Trustees, as provided by law (Utah Code '53B-2-103 and '53B-2a-103), and such internal organs as constituted and authorized under law, by this State Board of Regents from time to time (Utah Code '53B-2-106), unless the State Board of Regents shall reserve to itself any of the institutional powers set forth in Utah Code '53B-2-106. The President of the Utah College of Applied Technology is also an associate commissioner of higher education" (Utah Code '53B-2a-102)*.

As provided in board rules, "*The performance of each president will be comprehensively evaluated following the first year of his or her tenure (during year 2) and every four years thereafter (during years 6 and 10). The Board of Regents or the president may request a comprehensive evaluation at a shorter interval*." The evaluation is carried out under the following guidelines: "*The performance of each president will be assessed annually by a Resource and Review Team, as provided in Board of Regents' Policy R208. During the year of comprehensive evaluation, the Resource and Review Team is not required to meet and conduct a review, but may meet with the president by mutual agreement with the president. The information and reports gathered by the Resource and Review Team will be made available to the Evaluation Committee*."

6.B.5 The board regularly reviews and approves the institution's mission. It approves all major academic, vocational, and technical programs of study, degrees, certificates, and diplomas. It approves major substantive changes in institutional mission, policies, and programs.

Board of Regents' and Board of Trustees' bylaws explicate the responsibilities of both bodies, which include approval of the University's mission, major programs and degrees, certificates, centers, and similar creations. Major changes in mission, policies, and programs must be approved by the Board of Regents. These topics are discussed in *http://www.utahsbr.edu/policy/r120.htm*.

6.B.6 The board regularly evaluates its performance and revises, as necessary, its policies to demonstrate to its constituencies that it carries out its responsibilities in an effective and efficient manner.

Self-evaluation by the governing boards is not provided for in statute or bylaw, but is an ongoing responsibility for each. Each engages in planning and consideration of more effective means of performing applicable duties. Board policies are revised on a regular basis, as is evident from minutes and changes in various institutional documents.

6.B.7 The board ensures that the institution is organized and staffed to reflect its mission, size, and complexity. It approves an academic and administrative structure or organization to which it delegates the responsibility for effective and efficient management.

Board of Regents' bylaws give the body the responsibility to provide for organizing and staffing each institution for which it is responsible. These powers can be reviewed online at *http://www.utahsbr.edu/policy/contents.htm.*

6.B.8 The board approves the annual budget and the long-range financial plan, and reviews periodic fiscal audit reports.

Approval of the annual budget, long-term financial plans and review of audit reports is specifically described as responsibilities of the Board of Trustees. Those responsibilities are carried out at regular meetings of the board and its committees.

6.B.9 The board is knowledgeable of the institution's accreditation status and is involved, as appropriate, in the accrediting process.

The Boards of Regents and Trustees play a role in the accrediting process for the University. The degree of knowledge about and investment in the process varies depending upon the responsibilities of each body and the roles played by individual board members.

STANDARD 6.C – LEADERSHIP AND MANAGEMENT

6.C.1 The chief executive officer's full-time responsibility is to the institution.

The President of the University of Utah is, by law, its chief executive officer. This is detailed at *http://www.utahsbr.edu/policy/r120.htm*. It is more than a full-time position.

6.C.2 The duties, responsibilities, and ethical conduct requirements of the institution's administrators are clearly defined and published. Administrators act in a manner consistent with them.

All members of the University's administration are apprised of their duties and responsibilities at the time of their appointment and during regular evaluations conducted by their superiors. For some positions, such as University President, duties are described broadly in Board of Regents documents. Other position descriptions are established at the time a position is created and revised as needed. In addition, the University *Policies and Procedures Manual* identifies responsibilities that apply to all members of the University community, faculty as well as administrators. Failure to act in a manner consistent with one's duties, responsibilities, or ethical obligations leads to sanction.

6.C.3 Administrators are qualified to provide effective educational leadership and management. The chief executive officer is responsible for implementing appropriate procedures to evaluate administrators regularly.

The qualifications of administrative team members is commensurate with the responsibilities of their varied positions. The University President has responsibility for ensuring an effective evaluation system for University administrators. These evaluations occur yearly at the time of salary review as well as at prescribed times such as the end of an administrative term of office.

6.C.4 Institutional advancement activities (which may include development and fund raising, institutional relations, alumni and parent programs) are clearly and directly related to the mission and goals of the institution.

The University manages its own development and fundraising activities under the direction of the Office of the Vice President for Institutional Advancement, which encompass both University relations and development. The activities carried out by this office as well as by alumni reflect the University's mission and goals.

6.C.5 Administrators ensure that the institutional decision-making process is timely.

Decision-making at the University is guided by schedules that identify specific deadlines for various activities. These range from budget development to reappointment and tenure, from merit raises to enrollment deadlines. These schedules help manage the work of both committees and individual decision-makers. Those responsible for carrying out specific responsibilities are given a schedule to use in planning and fulfilling their duties.

6.C.6 Administrators facilitate cooperative working relationships, promote coordination within and among organizational units, and encourage open communication and goal attainment.

The University, by its very nature, is a diverse organization in which the potential for coordination problems and communication lapses is high. Avoiding these inherent pitfalls is a joint responsibility of administrators and faculty. Administrators design and carry out approaches for enhancing communication and reducing unhealthy competition among units.

6.C.7 Administrators responsible for institutional research ensure that the results are widely distributed to inform planning and subsequent decisions that contribute to the improvement of the teaching-learning process.

The Office of Budget and Institutional Analysis provides timely and essential data on all aspects of the University's operation. The institutional analysis Website, *http://www.obia.utah.edu/*, contains a sample of the rich source of information from this office. Reports from this office are available online, in hard copy, and by request from administrators, faculty, staff, and the general public. In addition, other units of the University provide reports and analyses that shape institutional decision-making.

Closing the Loop: Facilitating Shared Interests and Cooperation

The growing field of gerontology is a potential source of competition and conflict as different segments of the University seek a role in a rapidly expanding discipline. As colleges as diverse as nursing, social work, and medicine, began to initiate or strengthen their programs with respect to gerontology, the competition among units grew. The challenges were even greater because some of the units were housed in the health sciences and others in the academic affairs area. Using sound judgment and skill, administrators at the levels of senior vice president and dean facilitated a cooperative approach that maximized the involvement of all stakeholders, placing all in a position to shape the University's response to a growing area of study. The outcome was an interdisciplinary Center on Aging overseen by a board composed of faculty members with an interest in this field. It was a win-win result that will improve the research, teaching, and public service activities of the University in the field of gerontology.

6.C.8 Policies, procedures, and criteria for administrative and staff appointment, evaluation, retention, promotion, and/or termination are published, accessible, and periodically reviewed.

The Office of Human Resources provides detailed guidelines on the appointment, evaluation, retention, promotion, and termination of staff. Much of this information is available on their Website: *http://www.admin.utah.edu/hr.html*. Regular review of these policies and procedures is provided.

6.C.9 Administrators' and staff salaries and benefits are adequate to attract and retain competent personnel consistent with the mission and goals of the institution.

Administrative salaries and benefits have historically been adequate to attract and retain qualified individuals. Staff salaries are less adequate, although benefits are more or less satisfactory and competitive with the market.

STANDARD 6.D – FACULTY ROLE IN GOVERNANCE

The role of faculty in institutional governance, planning, budgeting, and policy development is made clear and public; faculty are supported in that role. (See Standard 4 - Faculty.)

The faculty role in governance has been discussed under Standard 4. Faculty governance is provided for through the existence of the Academic Senate and with the support of Board of Regents' rules. In addition, decisions generally in the purview of faculty such as curriculum design, admissions decisions, and similar matters are almost entirely controlled by faculty committees. The Academic Senate plays a vital and significant role in all areas of University life including planning, budgeting, and development of policies and procedures.

STANDARD 6.E – STUDENT ROLE IN GOVERNANCE

The role of students in institutional governance, planning, budgeting, and policy development is made clear and public; students are supported in fulfilling that role. (See Standard 3 - Students.)

Students have several avenues to use in playing a role in institutional governance. First, they are represented on the Board of Regents, which governs all public universities in Utah, and on the University's Board of Trustees. Student opinions are sought in budget discussions, particularly when tuition and fees are considered. They have played a major role in making decisions to fund various projects that will benefit students even though it will increase their cost of receiving an education. Student government representatives are asked to sit on several committees and every college has a student advisory committee that assists in evaluating the performance of faculty. The multiple avenues available to students interested in the life of the University are similar to those in place within other colleges and universities.

Summary

Commendations

- Within the areas of governance and administration, the University has several items of which it is justly proud. These include the areas of governance, the governing board, leadership and management, and faculty and student roles.
- Governance within the Utah System of Higher Education is complicated by the presence of both the Board of Regents and a Board of Trustees for each institution, but it generally works well. Roles and responsibilities of the respective governing bodies are clear and cohesive. They are periodically reviewed and occasionally updated as conditions evolve. For example, the Sarbanes-Oxley legislation, even though not directly applicable to public higher education, prompted a thorough review of financial auditing practices across the Utah System of Higher Education. As a result, Boards of Trustees were given greater authority and responsibility for oversight of financial auditing at their respective institutions, and the Board of Regents' everyday role was reduced. The new approach is working well. Similarly, the Board of Regents has recently refined and strengthened its role

in the process for authorizing new academic programs.

- Historically, long-range planning for the system has not been consistently strong, but the Board of Regents' current emphasis on strategic initiatives has been modestly successful thus far. For example, the Board of Regents has been successful in advocating the adoption of higher standards, with respect to course taking patterns for high school students intending to go on to college.
- The current state governing board (Board of Regents) is a diverse group of individuals drawn from across the state. They represent higher education and the public well. As a group, they bring to the table considerable expertise in legal, financial, and social issues. Attendance at regular meetings is high, reflecting the commitment of the board members. The agendas of individual members do not unduly influence board decisions.
- Leadership and management of the University is provided by a group of administrators with considerable experience and expertise in higher education. Some have spent many years at the University, whereas others rely on perspectives and strategies developed at other universities or other types of organizations. The University provides extensive training for younger faculty and staff who show promise and interest in higher education leadership.
- Faculty roles and prerogatives are taken very seriously. They are clearly spelled out and honored by the administration. The faculty's role in the faculty retention, promotion, and tenure process has recently been reviewed and revised in a coordinated effort involving the faculty and the administration. The faculty has regular access to upper-level administration. The president of the Academic Senate is a member of the Senior Vice President for Academic Affairs' academic leadership team and President Young's cabinet. As a member of the cabinet, he or she is also an advisor to the Board of Trustees.
- Student roles and prerogatives are taken seriously. They also are clearly spelled out and honored by the administration. Students who choose to become involved in leadership positions are given opportunities to participate in a wide range of governing and policy setting activities within the University. Structures such as the Student Commission, chaired by the vice president of the Associated Students of the University of Utah, give students direct, regular contact with upper-level administrators who can assist them in changing policies or marshaling resources on behalf of student initiatives. The effectiveness with which students participate in University governance depends, not surprisingly, on the quality of student leaders at any given time. Particularly in the past couple of years, the University has been blessed with exceptionally talented and involved student leaders.

Challenges

- The overall regential system works smoothly, but the ability of the Board of Regents to govern the system is occasionally undercut by the legislature. Legislative intrusion typically takes the form of limiting tuition increases or removing constraints on academic drift imposed by the Board of Regents. The latter is particularly disruptive with respect to the Board of Regents' ability to engage effectively in long-range, strategic planning. This is a challenge that is, for the most part, outside of the University's influence.
- The University operates in a highly decentralized fashion, necessitating a high degree of communication, coordination, and trust

across the institution. In the main, this decentralized approach is working well, but it does require continuous attention and one might argue that it is more dependent on the individuals involved and less dependent on policies and institutional structures than is ideal.

- Overall, the external governance structure within which the University operates is supportive. It interferes only minimally with our ability to carry out our mission as we see fit. We will continue the process of defining and distinguishing our role as a research-extensive University vis-à-vis other types of institutions in the system. Internally, administrative processes involving administrators, faculty, and students are working reasonably well. We will continue to monitor those processes and adjust them if necessary, but there are no major problems needing attention at this time.

STANDARD 7
FINANCE

TOGETHER, WE REACH.

STANDARD 7.A – FINANCIAL PLANNING

7.A.1 Governing boards and, where applicable, state agencies have given the institution appropriate autonomy in financial planning and budgeting matters within overall mandates and priorities.

The Utah State Board of Board of Regents is the governing body for the Utah System of Higher Education of which the University of University is a part. The Board of Regents' policies and procedures regarding finance issues are found in Section 5 - Business and Financial Affairs (*www.utahsbr.edu/policy/contents.htm*). Within the parameters of these policies, the University is given a high degree of autonomy to manage its financial resources.

Utah's state legislature appropriates money to the University by so-called "line items," but the term does not have the same meaning as in some other states where it refers to objects of expenditure (e.g., supplies, personnel). In Utah, line items are budget centers (or collections thereof) or activities. There are 11 line items in the University's annual state funded budget:

- Educational and General (80% of total authorized expenditures in fiscal year 2006)
- School of Medicine (15% of total authorized expenditures in fiscal year 2006)
- Regional Dental Education Program
- Poison Control Center
- State Arboretum
- Seismograph Station

- Utah Museum of Natural History
- KUED (public television)
- University Hospital
- Miners Hospital
- Educationally Disadvantaged

The University may not move money between line items. However, within line items, the University generally has considerable freedom to spend state funds (state tax-based appropriations plus tuition revenue) as it sees fit. For example, we can freely move money from personnel to nonpersonnel uses and vice versa without prior authorization. There are some minor restrictions such as a prohibition on purchasing alcohol products. More importantly, the legislature occasionally earmarks a particular appropriation for a particular purpose, typically through legislative intent language. In those cases, the University must spend the funds as directed. Nonetheless, our assessment is that the University usually has adequate autonomy for financial planning and budgeting.

In Utah, tuition revenue is appropriated by the legislature. The University collects the revenue but requires an annual appropriation to spend it. If tuition revenue is higher than budgeted during the course of the year, the University keeps the additional revenue, and the "work program" is revised in a pro forma fashion. If tuition revenue is less than budgeted, the University must deal with the problem by reducing expenditures, drawing upon reserves, or finding other, nonstate sources of revenue.

The University's budget requests for state support are processed through the State Board of Regents, which must submit a combined system annual budget request to the governor in late fall. The University can influence what the Board of Regents elects to submit, but it does not control the submission. At times, the Board of Regents' budget may not fully reflect University interests but rather only those that coincide with the interests of the eight sister institutions in the Utah System of Higher Education. Obviously, this constrains our financial planning. The University is not, however, prohibited from seeking resources elsewhere to accomplish our objectives.

The Board of Regents also sets tuition and mandatory fees (a delegated authority from the legislature). Over time certain practices have evolved that effectively constrain the Board of Regents in setting tuition, and thus indirectly constrain the University as well. The most important of these is the rule that tuition must cover a share of any compensation increase. During the 1990s virtually all tuition increases were devoted to this purpose. Tuition increases in those years did not yield unallocated funds that might have been used, for example, to cover the cost of new programs or augment the library acquisitions budget. In short, the University lacked autonomy with respect to tuition.

This limitation changed in the late 1990s, starting with the advent of differential tuition at the graduate level, that is, tuition that varies by program of study. Historically, the University had charged higher tuition for students in its M.D. and J.D. programs, and added a modest surcharge for students in nursing in the early 1990s. Under legislative pressure to have graduate students pay for a greater share of their education, the Board of Regents (at the prompting of the University) responded with a more widespread differential tuition approach rather than an across-the-board increase for graduate students. The University now has 13 graduate programs (all professional) with differential tuition. No University request for a differential rate has been rejected by the Board of Regents. Revenue from differential tuition, excluding the School of Medicine, exceeded $5 million in fiscal year 2005. The University decided at the outset that all such incremental revenue would go to the programs whose students paid the differential rate. Thus, the positive impact of the increased autonomy is felt most immediately at the program level. Of course, the University's overall budget is helped when programs can help themselves.

The second major development was the advent of so-called "second-tier" tuition starting in fiscal year 2001. In this approach to setting year-over-year increases in tuition, the Board of Regents establishes the "first-tier" percentage increase, which applies to all nine institutions in the Utah System of Higher Education. Revenue from the first-tier increase is used primarily if not solely to cover a portion of any increase in faculty and staff compensation. Individual Utah System of Higher Education institutions may then propose an additional increase in tuition. This additional, or "second-tier," increase must be approved by the Board of Regents. Thus far the board has been accommodating even in the face of repeated large increases. Not surprisingly, second-tier tuition has become a major focus of financial planning. It allowed the University to come through the difficult financial times that began in 2002 and continued through fiscal year 2004 without major disruption to its programs. The legislature has intervened on two occasions to put limited constraints on the level of second-tier tuition increases, and likely would do so again if it felt that the increases were excessive. Nonetheless, the two-tier approach to tuition has given the University a considerable boost in autonomy.

Utah's Department of Facilities and Construction Management (DFCM) sets the rules governing the submission of capital projects for state funding, but within those rules the University has considerable discretion in selecting and proposing projects. In addition, the University and DFCM work closely each year to determine the list of major replacement and renewal projects that the state will fund. In recent years, that funding has averaged about $8 million per year on our campus.

The Board of Regents uses an elaborate algorithm to rank order the various capital projects submitted for state funding by the University and other institutions within the Utah System of Higher Education. This rank order is submitted to the State Building Board, a component of the DFCM. The Board of Regents rank ordering does have some impact on state funding but Building Board decisions and political considerations ultimately prevail.

The University must obtain legislative approval for privately funded capital projects as well. Both the legislature and the Board of Regents must approve such projects when the University is asking for operation and maintenance funding. Thus far, that requirement has not been a major impediment to our autonomy.

7.A.2 The institution demonstrates that financial planning for the future is a strategically guided process. This planning includes a minimum of a three-year projection of major categories of income, specific plans for major categories of expenditures, and plans for the management of capital revenue and expenditures. Short- and long-range budgets reflect the institution's goals and objectives and relate to the plans for physical facilities and acquisition of equipment.

Financial planning at the University is complicated because of the large number of major funding sources. The planning approach and the planning concerns vary by type of funding source.

State Appropriations

The state's basic approach to funding is incremental, that is, the process starts by rolling forward the prior year's base, lending considerable stability and predictability to this key revenue source. Nonetheless, the combination of shifts in power within the legislature, changes in demand for state resources, changes in state revenues, developments within the Utah System of Higher Education, and the manner in which the Board of Regents stands between the University and state government all make planning for revenue at the margin an annual challenge, and long-term planning quite problematic. The University works hard at understanding the factors at play and then attempting to influence them to meet its objectives. Much of this effort goes into shaping the manner in which funds are requested from state government.

In the 2006 legislative session, the University received a large infusion of state resources in support of our research mission and technology transfer goals. Success can be attributed to an enormously complex planning process involving another institution, Utah State University, the business community, the legislature, and the governor. This effort grew out of the realization on the part of the various entities that the changing world, in particular the increase in economic competitiveness both at home and abroad, calls for an extraordinary response. The request for funding occurred outside of the regular higher education budget request, making for delicate and complicated relationships and tradeoffs all around. The planning has been strategic in nature, and the financial projections are long-term (see Appendix 7.1).

We are aware of the recent study made available by the National Center for Higher Education Management Systems showing that virtually all states, including Utah, face a long-term, structural deficit (see Appendix 7.2). At plausible levels of tax revenues, the study projects that there will not be enough revenue to cover the increased cost for the current level of services provided by most states. We will be monitoring the Utah version of this situation for the indefinite future.

Tuition and Fees

To a large extent, planning for tuition is complementary to planning for state appropriations. Historically, little effort was directed toward even intermediate planning because, as noted above, we had relatively little control over tuition. In recent years, however, our ability to influence changes in tuition has greatly increased with the advent of broad utilization of differential tuitions at the graduate level and second-tier tuition covering all students. We now have reason to plan for future tuition increases as a means of implementing strategic initiatives. During fiscal year 2005, we developed and shared with student leaders a 3-year plan for increasing tuition (see Appendix 7.3). The Board of Regents recently approved a request from our David Eccles School of Business to impose a differential tuition for students majoring in business at the undergraduate level, a step not taken lightly and one that was part of our financial planning for several years.

Students currently pay 11 mandatory fees totaling $669 per full-time student for two semesters. Fee increases must be approved by the Board of Regents. Internally, we work within a long-standing agreement with student leadership and funded entities that all but two of those fees will increase in accord with changes in the consumer price index. Increases that exceed the Consumer Price Index increase are occasionally requested by entities receiving fee revenue (e.g., athletics). In that case we may develop intermediate-term plans. For example, we are currently in the third year of a 5-year plan to increase the transportation fee at a much higher rate than likely increases in the Consumer Price Index. These plans always involve discussions with student leaders. Their support is crucial in securing Board of Regents' approval.

Changes in course fees must be approved by a fee committee made up of faculty and administrators. Although the committee does not do financial planning, members are cognizant that their decisions can set important precedents. In the main, the committee reacts to the financial plans of academic units that wish to use fee revenue to strengthen some aspect of their services to students.

Patient Care

The largest single source of revenue for the University is patient care. It is also an extraordinarily complex revenue source with multiple payers, many layers of rules, and seemingly unlimited opportunities for both positive and negative developments. In addition, these revenues support not only the provision of health care, but instruction and research as well. Accordingly, health science administrators spend considerable time and effort on both short- and long-term financial planning.

The Office of the Senior Vice President for Health Sciences maintains a complex model to project and this office track financial resources controlled by the senior vice president's office. Financial resources are tracked for the current year and projected for an additional 9 years. These resources include reimbursed research overhead, dean's tax collections, educational funds, funds provided by the hospital for use by the senior vice president's office for health sciences-wide initiatives, and dividends from a major, wholly-owned subsidiary of the University (see below). All expenditures and commitments, no matter how large or small, are budgeted and tracked. Major categories of expenses and commitments include leases for Health Sciences Center entities located off-campus, remodeling, recruitment and retention of faculty, deans and department heads, program support, core facilities operating support, administrative support, etc. This 10-year financial summary (see Appendix 7.4) is supported by detailed information located in the School of Medicine.

University Hospital (comprised of three hospitals, eight community clinics, and an orthopedic center), the single largest financial unit within the purview of the Senior Vice President for Health Sciences, also engages in extensive financial planning. Maintaining adequate cash reserves, attempting to contain costs (e.g., by installing systems for managing supplies), planning for capital projects, paying down bonded debt, establishing new services, and investing in information technology are just some of the items addressed in those plans (see Appendix 7.5).

Grants and Contracts

Extramural funding awards outside of scholarships and fellowships totaled just under $300 million in fiscal year 2005. Much of the detailed financial planning for these revenues is undertaken by the investigators themselves along with departmental chairs and deans. At the central level, financial planning has traditionally focused on the allocation of revenues from reimbursed overhead, which totaled $59 million in fiscal year 2005. That fund of money is allocated by the Research Overhead Committee consisting of the two senior vice presidents and the Vice President for Research along with the Associate Vice Presidents for Research and for Health Sciences, the Assistant Vice President for Health Sciences Finance, and the Associate Vice President for Budget and Planning. The latter maintains the revenue prediction model, the detailed allocation table, and the annual report on how the funds are used. The allocation table contains multiyear commitments along with the status of the general reserve account, the capital accumulation account, and the disallowances account. All three accounts are multiyear by nature. The capital accumulation account is part of the University's intermediate plans for capital projects (see Appendix 7.6). The capital accumulation account is used to help pay for the costs of constructing facilities whose primary funding comes from another source. Currently the debt incurred in constructing two buildings, the Huntsman Cancer Institute and the Biology Research Building, is being amortized using research overhead funds as the primary source.

Overhead funds are typically used for two classes of activities. Some funds are used for strategic purposes, such as support for capital projects, or the support for key projects or faculty members. For the last several years, however, much of the increased revenue from this source has been used to meet compliance requirements (Institutional Review Board, Office of Sponsored Projects, the care of animals, the installation and maintenance of fume hoods, hazardous waste disposal, and so on). By the end of fiscal year 2005 we had taken care of most of the required compliance enhancements with one major exception, the implementation of a new software system in the Office of Sponsored Projects, which will require serious resources for another year or two at a minimum.

In the intermediate term, we face three major challenges regarding grants and contracts revenues. (1) The funding climate is changing. The ratio of awards to proposals is declining as competition for funds increases and the budgets of federal sponsors stagnate. (2) We will be renegotiating our indirect cost reimbursement rate during fiscal year 2006. Our current rate is 49.5%. A change of just one percentage point in either direction would have a significant impact on revenues over time. (3) Our success in gaining additional state funding to enhance our research and technology transfer capabilities will trigger the need to undertake much additional planning. The negotiation itself presumed a multiyear rollout, the planning for which has already involved major efforts led by the two senior vice presidents, the Vice President for Research, the Vice President for Technology Ventures, and key researchers. Nonetheless, moving from abstract concepts such as "*25 research teams*" to actually developing those teams will require much additional planning, as will designing the facilities to house the teams.

Auxiliary Services

Our auxiliaries generated $76 million in revenues in fiscal year 2005. Auxiliaries need to pay their own way and we may not use state funds (appropriations and tuition) to support them. They also play an important role as a source of funds to support the auxiliary and campus facilities bond system. Surplus funds from, for example, Commuter Services, are a major source of revenue that is used to pay off bonded debt (see Appendix 7.7).

The segments of auxiliaries that have been getting the most attention from a strategic and long-range planning perspective have to do with housing. One component consists of new facilities not quite fully occupied (95% in fall 2005) with a huge debt to amortize ($120 million). Housing for married students and medical students consists primarily of old facilities that currently provide sizeable net revenues for the bond system, but these facilities are very much in need of renovation. The renovation will be costly (many tens of millions of dollars) and will reduce the revenue stream while underway. Considerable planning has already taken place. We have undertaken studies to estimate the cost of rehabilitating the medical towers (housing for medical students) and have been exploring options for rebuilding the apartments for married students (including discussions with the city about alternative locations). However, at this point we do not yet have an agreed-upon strategy for renovating or replacing those old facilities.

Gifts

The University has been relatively successful in raising private support for operations and capital needs. In fiscal year 2005 we raised a total of $83 million in gifts, excluding private grants and contracts for research projects (see Appendix 7.8). That level of gifts typically puts us in the top half among the group of institutions selected for comparison purposes by the Board of Regents (see Appendix 7.9). Strategic thinking over the past several years has focused on three issues: how to pay for the fund raising effort, how to organize fund raising going forward, and how to structure a capital campaign that we will likely be starting in fiscal year 2006. We have decided, beginning in fiscal year 2006, to fund the Development Office using a share of cash management earnings. In the past we used a skim from endowment earnings. We have created a new position, Vice President for Institutional Advancement, to lead both the Development and Alumni Offices. We have had consultants looking at our prospects for fund raising in general and a capital campaign specifically. We will be shifting our fund raising efforts somewhat in an effort to broaden our base of support. The capital campaign, when it unfolds, will be guided by our most recent strategic plans and the Development Priorities Committee. The latter is a standing committee that provides direction to our fund raising efforts on an ongoing basis.

Sales and Services

The University operates two separately incorporated entities, the University of Utah Research Foundation (UURF) and the Associated Regional and University Pathologists (ARUP). Both are included in our strategic financial planning that focuses on the use of discretionary funds.

The UURF specializes in applied research, the transfer of patented technology to business entities, and the leasing and administration of the University's Research Park. UURF surpluses are included in our intermediate- and long-term financial plans as a source for assistance in funding capital projects and in making lease payments for University units residing in Research Park. UURF cash balances also constitute a reserve in the event of exceptional financial problems or exceptional opportunities.

ARUP is a large operation that performs lab testing and other pathology services for academic medical centers and other customers across the country. It generates revenues well in excess of $200 million per year. The disposition of this operation and its operating surpluses has occupied the thinking of the University President and other senior administrators for some time. Two years ago, an agreement was reached not to sell the business and to share some of the annual surpluses with the University's central administration and the health sciences administration, as well as continuing ARUP's long-standing support for the School of Medicine's Department of Pathology, some of whose members founded the operation. The health sciences administration's share is currently being used to help pay down internal debts incurred when the University bought a set of community clinics some years ago. A portion of the central administration's share is being used for the same purpose, and another portion is being used primarily to support various academic initiatives including helping to pay for the construction of new facilities.

Investments

The two major components of our investments, endowment and cash management funds, entail rather different types of planning issues. The University is not well endowed for its size, with an endowment market value of just over $350 million at the end of fiscal year 2005. Nonetheless, endowment is an important component of our financial landscape. The endowment is managed by professionals on staff, in accord with the advice of an investment committee (which includes members of the Board of Trustees and individuals from the local financial community), and with the help of hired money managers from around the country. Apart from the asset allocation questions that those groups address, the major strategy question is the payout rate. Currently it is set at 4%. Donor intent dictates most of what can be done with the yield from the endowment.

Cash management earnings present several strategic issues. In the main, the investment approach is not one of them, as the options are typically confined to very safe, very liquid, and very short-term investments, although we have on occasion invested a small portion of the cash management corpus in longer-term, modestly riskier investments. By contrast, the allocation of the cash management yield does raise important strategic questions, the most fundamental being the share controlled by the central administration versus the share paid out to the units whose cash is being invested.

The subsequent use of the central administrative share involves strategy questions as well. Indeed, the use of the yield from cash management is a critical part of the University's strategy for the deployment of its discretionary resources. For example, starting in fiscal year 2006, cash management earnings are being used by the central administration to pay for most of the operation of the Development Office (private fund raising), replacing a skim on endowment earnings. This decision was ultimately made by President Young in consultation with the senior vice presidents and their staffs, the Vice President for Administrative Services and his staff (including the investment managers), and major "shareholders" (deans and the director of the University Hospital). More than $4 million annually is involved in this switch, and that sum will increase considerably as we move into the next capital campaign. A roughly equivalent amount is used by the central administration to fund scholarships of various kinds and to support a variety of academic and other activities that cannot readily be supported with general funds (i.e., state appropriations and tuition; see Appendix 7.10). The rest of the yield is paid out to the units with money invested in the cash management pool.

Capital Projects

The legislature requires that each year the University submit its 1-year and 5-year plans for capital projects for both state-funded and non-state-funded projects (see Appendix 7.11). In these reports we indicate in broad terms the purpose of the projects, their size, the source of funds (state, private, or institutional), and whether we will be requesting state funds for operation and maintenance of the new facilities. Internally, we maintain tables showing in greater detail the sources of funds over the next 3 years for projects that will require institutional funds in addition to those from governmental or private sources (see Appendix 7.6).

Integration

We integrate intermediate-term financial planning principally through cooperation and collaboration among the senior vice presidents, the Vice President for Administrative Services and President Young, as well as among staff at the next level down (the various associate and assistant vice presidents responsible for financial and budget issues). We also use a variety of multiyear financial planning models, including one that includes all the major sources and uses of the University's centrally controlled discretionary resources (see Appendix 7.12). In the latter case, a key planning objective is to assure ourselves that we are accumulating sufficient funds to help with capital projects, reduce internal debts, and deal with unforeseen problems and opportunities.

7.A.3 The institution publishes an annual budget distributed to appropriate constituencies, and the policies, guidelines, and processes for developing the budget are clearly defined and followed. Budget revisions are made promptly, and, when necessary, a revised budget or schedule of budget changes is developed and distributed to appropriate constituencies.

The University develops and implements budgets on an annual, fiscal-year cycle. The fiscal year begins July 1 and ends June 30. All units within the University budget on this cycle, regardless of source of funds.

The University publishes the annual budget for each budget center on management reports each month (for example, see Appendix 7.13).

These reports are distributed monthly to the account executive or principal investigator. This person is assigned and approved by the Office of General Accounting. The management reports are also available online, as are various perspectives on University finances that are updated annually (*www.obia.utah.edu/budget*).

Technical policies, guidelines, and processes for developing the budget are clearly defined and followed per the BRASS (Budget Reporting and Analysis Support System) Training Manual (see Appendix 7.14 or on the Web at *www.obia.utah.edu/budget/brass/brass_trng.pdf*).

In late winter of each year, the Office of Budget and Institutional Analysis distributes a development schedule (also available in the budget and finance on the institutional analysis Website, *www.obia.utah.edu*). The schedule is a calendar showing when key events will take place, including the distribution of President Young's budget letter, the period of time when budget entries will be accepted, meetings of deans with vice presidents and vice presidents with President Young.

The budget cycle officially begins with distribution of the University President's budget letter. The letter typically comes out within a week to 10 days following the close of the legislative session in early March. The letter contains general guidelines, such as the directive that money must be spent in accordance with legislative intent, and specific guidelines related to compensation, such as permissible ranges for faculty and staff raises, or other matters (see Appendix 7.15). The University President's letter is followed closely by a memo from the Office of Budget and Institutional Analysis explaining any technical issues or details related to that year's budget submission (see Appendix 7.16).

Budget revisions are prepared by individuals in budget centers across the campus and delivered to the director of the budget who reviews and approves them. Budget changes are numbered sequentially and entered in a timely basis. The revision is then reflected on the management report online by the next day.

The Office of Budget and Institutional Analysis provides training in the development and maintenance of budgets on a regular basis for new administrators (see Appendix 7.17) and on an ad hoc basis for small groups or individuals as needed.

The budget for University Hospital is developed separately. A bottom-up approach is used, starting in March of each year. The budget is ultimately reviewed and approved by the Hospital Budget and Finance Committee, Hospital Board, the Trustees, and the Board of Regents (see Appendix 7.5). The School of Medicine also follows its own elaborate budget building process (see Appendix 7.18)

7.A.4 Debt for capital outlay purposes is periodically reviewed, carefully controlled, and justified, so as not to create an unreasonable drain on resources available for educational purposes. The institution has a governing board policy guiding the use and limit of debt.

The capacity for and desirability of issuing additional debt is analyzed carefully by University management and its outside advisors. The prudent use of debt is seen as a strategic financial tactic in accomplishing the overall missions of the University and its capital planning objectives. Several Board of Board of Regents' policies deal with the use and limitations of debt, such as "Issuance of Revenue Bonds for Facilities Construction or Equipment," "Nontraditional Arrangements for Development of Facilities on Campuses," and "Lease-Purchase Financing" (see *www.utahsbr.edu/policy/r590.htm*). The institution does not have its own debt policy at this time.

STANDARD 7.B – ADEQUACY OF FINANCIAL RESOURCES

7.B.1 The institution provides evidence that it seeks and utilizes different sources of funds adequate to support its programs and services. The commitment of those resources among programs and services reflects appropriately the mission and goals and priorities of the institution.

The University secures significant funding from many sources (for evidence, see Appendix 7.19). State appropriations and tuition primarily fund the instructional mission of the institution and related support activities. Federal, state, and private grants and contracts fund the research mission. Revenues from patient care support our health care-related public service mission. Governmental revenues and gifts support our community outreach public service mission (museums, public radio, and television). Gifts and earnings from the endowment and cash management investments support elements of all three missions. Net revenues from business-like operations, University of Utah Research Foundation and Associated and Regional University Pathologists, also support elements of all three missions.

7.B.2 Adequate resources are available to meet debt service requirements of short-term and long-term indebtedness without adversely affecting the quality of educational programs. A minimum of three years' history of the amount borrowed (whether internally and externally) for capital outlay and for operating funds is maintained. A five-year projection of future debt repayments is maintained.

The University maintains detailed documentation of indebtedness and conscientiously maintains a conservative philosophy in staying well under the relevant debt capacity limits, so as not to affect the quality of educational programs by siphoning off funds for debt service payments that could otherwise be used for educational purposes. The history of the past 3 years is adequately documented in the University's annual audited financial statements for fiscal year 2003, fiscal year 2004, and fiscal year 2005 (Appendix 7.20). Specifically, statement footnotes no. 14 and 15 list each year's obligations as well as debt service obligations for the following 5 years. The University has not borrowed any money internally for the last 3 years, and borrows externally only for capital acquisition/construction, not for operating purposes. Current underlying ratings on the University's bonds as determined by Standard & Poor's and Moody's Investors Service, respectively, are:

Auxiliary and Campus Facilities BAAA/Aa2

Hospital Facilities B AA/Aa2

Research Facilities B AA-/Aa3

7.B.3 Financial statements indicate a history of financial stability for the past five years. If an accumulated deficit has been recorded, a realistic plan to eliminate the deficit is approved by the governing board.

A good indicator of financial stability is the change in net assets during a fiscal year. Net assets is the difference between total assets and total liabilities. Since the inception of the new financial reporting model for public institutions was implemented, the percentage of yearly increase in net assets has been: fiscal year 2002 = 2.8%; fiscal year 2003 = 6.6%; fiscal year 2004 = 8.9%; fiscal year 2005 = 10.6%; and fiscal year 2006 (est.) = 9.7%.

7.B.4 Transfers among the major funds and interfund borrowing are legal and guided by clearly stated policies in accordance with prudent financial planning and control.

Transfers among the major funds do occur, mostly to conform with debt service requirements of bond indentures or with mandatory matching fund requirements from federal government programs. Some interfund borrowing does take place, but this is limited to specific projects approved and funded by the Universit President's discretionary funds. No specific policy exists currently regarding inter-fund borrowing.

7.B.5 The institution demonstrates the adequacy of financial resources for the support of all of its offerings including specialized occupational, technical, and professional programs.

Compared to similar universities in other states, the University generates less revenue per full-time equivalent student from tuition and fees as well as from state appropriations but more from other core revenues. In turn, the University spends less per FTE student on instruction and various support services (see Appendix 7.21). The differences between our expenses per student and the comparison group averages are material but not dramatic. The gaps would be reduced if normalized for prevailing regional wages, as those wages tend to be below the national average in Utah and parts of the Rocky Mountain area.

Faculty salaries in many disciplines at the University are below average according to data compiled by the annual Oklahoma State University survey (see Appendix 7.22). At the same time, the University provides a benefits package that is richer than average according to data compiled by the American Association of University Professors (see Appendix 7.23). Our compensation (salary plus benefits) at the assistant professor rank is competitive in most fields. Although we do not keep exact statistics, anecdotal information suggests that we succeed more often than not when we make counteroffers to retain faculty being recruited by other universities. We feel that our faculty turnover rate, about 5% per year including retirements, is acceptable.

Faculty compensation is not our only concern, however. Looking ahead, we expect that it will not be easy to meet the start-up costs for all of the faculty members we might like to hire in the physical sciences and engineering. Even now we have on occasion restricted hiring for that reason. The problem will be alleviated somewhat by our successful efforts to acquire major new state support to add science and engineering faculty and associated material resources.

Virtually all of our professional graduate programs enjoy additional revenue through differential tuition. This extra tuition, levied in addition to regular graduate tuition, goes directly and entirely to the respective programs. We estimate that revenue from differential tuition, excluding that charged to students in the School of Medicine, will total approximately $5.5 million in fiscal year 2006.

Our hospital experienced a budget shortfall in 2000. Since then the hospital (and clinics) has had considerable success in meeting and exceeding budget targets (see Appendix 7.24). We are confident that we can maintain that success, but needless to say, given the volatility of health care economics, it will take continued attention to cost control, appropriate strategic choices, exceptional customer service, and so on. Indeed, fiscal year 2006 is turning out to be a tougher year financially than any since 2000.

7.B.6 The institution identifies the sources of its student financial aid for current enrollments and provides evidence of planning for future financial aid in light of projected enrollments. It monitors and controls the relationship between unfunded student financial aid and tuition revenues.

Staff from the Office of Financial Aids and Scholarships administer student financial aid under the supervision of the Vice President for Student Affairs (see Appendix 7.25, year-end reports). The Vice President for Student Affairs and the Associate Vice President for Budget and Planning determine the broad strategies for student financial aid with guidance from the Senior Vice President for Academic Affairs and the President of the University.

Our ability to manage student financial aid is constrained in a variety of ways. We are subject to the rules regulating the federal student aid programs in which we participate. We have a limit, set by the legislature, on granting resident undergraduate tuition waivers equal to 10% of assessed resident undergraduate tuition. Historically, we have stayed under that limit; in fiscal year 2005, tuition waivers were 8% of assessed tuition. We can grant a limited number of tuition waivers to nonresident students, again set by the legislature. The state-supported student financial aid program is quite limited (see Appendix 7.26). We have material, but limited, resources of our own to use for need-based student financial aid. Tuition and fees are ultimately determined by the Board of Regents, although we typically have input into their decisions.

Over the past 4 years, fiscal year 2002 through fiscal year 2005, assessed undergraduate tuition revenue increased by 36.3%, a figure that takes into account the effects of rate increases, the mix of resident and nonresident students, and enrollment growth. During that same period, the total amount of need-based financial aid dispersed in the form of Pell Grants increased by 40.6%. Also during that period, the University allocated more than $1 million in base or ongoing funds for additional need-based student aid.

According to the rankings published by *U.S. News and World Report* in August, 2005, the debt level for undergraduates who graduated from the University in 2004 was the seventh lowest among national universities. One reason for the relatively low debt level is our relatively low tuition and fees when compared to other public colleges and universities. Our 2005-06 undergraduate tuition and fees, at $4,300 per year for a full-time student (30 semester credits), is just 78.3% of the average, $5,491, for all 4-year colleges and universities (College Board).

As for the future, we do not expect to have to deal with significant enrollment increases over the next 5 years at least. We expect tuition and fees, as well as the overall cost of attendance, will increase during that period, but at a slower pace than during the last 5 years. We will be supporting an increase in the state student aid program for needy students within the framework of the combined annual Utah System of Higher Education budget request. We will actively seek scholarship and grant support in our private fund raising efforts. Programs that benefit from differential tuition are expected to use some of the additional resources to assist needy students or to do so with funds from other sources. Overall, we do not expect the current aid versus cost relationship to change appreciably over the next 5 years.

7.B.7 The institution maintains adequate financial reserves to meet fluctuations in operating revenues, expenses, and debt service.

The best single measure of financial reserves is the amount of unrestricted net assets. These are resources that are not reflective of investments in noncurrent assets, nor are they resources that have had other external restrictions placed on their usage. Even though much of this balance is already allocated or set aside for specific purposes internally, it could be used for any institutional purpose that management determines, including meeting fluctuations in operating revenue, expenses, and debt service. Unrestricted net assets as of June 30, 2005 were $488.5 million.

The central administration maintains a variety of reserve accounts: a contingency fund, the unallocated portion of the general and administrative account, unrestricted gifts, a cash management reserve, the internal deficit reduction pool, which functions in effect as a reserve for short-term problems, and a research overhead reserve. Altogether, we believe we have adequate reserves to meet problems that have a reasonable probability of occurring.

The legislature allows public colleges and universities to carry forward unspent funds from one year to the next. The University's central administration also permits operating units across the institution to carry forward unspent funds within unit budgets (rather than sweeping them into central accounts). As a result of these two policies, at any given time unallocated, unencumbered money is available within operating units outside the central administration. Of course, unit managers typically have plans for these funds and the funds are not distributed evenly across operating units. However, at least for some units the funds could be (and have been) of considerable help in mitigating the impact of a serious budget problem should budget cuts across operating units be required.

Each School of Medicine clinical department is asked to maintain sufficient cash reserves to: (1) support normal day-to-day business operations, (2) allow time to adjust for unanticipated losses of revenue streams or increases in operating expenses, (3) fund faculty recruitment and start-up costs, and (4) provide for growth in clinical and research endeavors. The school has a detailed set of requirements for establishing and maintaining cash reserves in each department (see Appendix 7.27). Total cash reserves and the reserves for each of the units with health sciences are monitored on a monthly basis (see Appendix 7.28).

7.B.8 The institution demonstrates an understanding of the financial relationship between its education and general operations and its auxiliary enterprises and their respective contributions to the overall operations of the institution. This includes the institution's recognition of whether it is dependent on auxiliary enterprise income to balance educational and general operations or whether the institution has to use education and general operations income to balance auxiliary enterprises.

Auxiliary enterprise operations are governed by Utah State Board of Board of Regents' policies R525 and R526, University policy 4-19, and in some cases, relevant bond covenants. Board of Regents and University policies require auxiliary enterprises to be financially self-supporting and to pay their appropriate share of costs for physical plant operations and other directly chargeable support costs related to their operation. They are also required to pay an appropriate share of general administrative support costs of the University.

These policies have been consistently applied. All freestanding auxiliary operations have positive fund balances and bonded auxiliary enterprises, through the Auxiliary and Campus Facilities Bond System, generate positive cash flow and maintain investment grade bond ratings.

Financial results for each auxiliary enterprise are reported to the Board of Trustees semi-annually and to the Board of Board of Regents annually (see Appendix 7.29).

STANDARD 7.C – FINANCIAL MANAGEMENT

7.C.1 The president reports regularly to the governing board about the financial adequacy and stability of the institution.

The Utah State Board of Regents is kept apprised of the University's financial status in a variety of ways. Taken together these different means provide the Board of Regents with sufficient knowledge to perform their fiduciary duties in a responsible manner.

- During the course of the year, the University's Office of Budget and Institutional Analysis, in conjunction with offices reporting to the Vice President for Administrative Services, provides an extensive series of reports to the Office of the Commissioner of Higher Education (staff to the Board of Regents). These reports deal with financial matters of various kinds (budgets, tuition and fees, tuition waivers, actual expenditures, assets and liabilities, changes in assets, endowment performance, bonded debt, and so on), as well as matters that impact on finances such as enrollment (see Appendix 7.30).
- In the late summer and early fall each year the President of the University participates in building the Utah System of Higher Education budget request to the legislature. As part of this process, President Young prioritizes the financial needs facing the University. Similarly, in the spring of each year the President makes the case for tuition and fee increases, which again requires the President to be specific about aspects of the University's finances. For example, during the period from fiscal years 2000 through 2004, rising energy costs coupled with the inability of the legislature to address those costs created a serious problem. A combination of increases in tuition as well as the imposition of a fuel and power student fee mitigated the impact of the energy cost problem until the legislature was able to resume addressing price increases in fiscal year 2005. Through various reporting means, the Board of Regents was fully apprised of the issue.
- When state appropriations are cut, the President reports to the Board of Regents on steps taken to reduce the University's expenditures and on the impact of those reductions (e.g., on the number of faculty and staff employed).
- The Board of Regents staff use the financial data provided in the University's annual audited financial report to conduct annual ratio analyses designed to reveal the financial strength of each of the Utah System of Higher Education institutions. These ratios include debt to equity measures, viability, reserves and coverage, and change in net assets (see Appendix 7.31).
- When the University wishes to issue bonds for a capital project, the Board of Regents is part of the required approval process. As part of that process, the Board of Regents reviews bond-coverage as well as the University's credit rating as determined by Standard & Poor's as well as Moody's Investors Services (see Section 7.B.2). The Board of Regents tends to focus on strategies for marketing whatever bonds are in question.

7.C.2 Financial functions are centralized and are under a single qualified financial officer responsible to the president. Institutional business functions are under one or more qualified officers, are well organized, and function effectively. The complexity of the business organization reflects the size of the institution and the significance of its transactions.

The Vice President forAdministrative Services is the University's chief financial officer and reports directly to the President. Central accounting services, the controller, investment management, treasurer functions, and internal audit report to the Vice President for Administrative Services.

Responsibility for building and maintaining budgets is a shared responsibility, flowing out through the respective vice presidential areas with ultimate authority residing in the President. For all areas of the University apart from the health sciences, the budget process is managed by the director of the budget, who reports to the Associate Vice President for Budget and Planning, who in turn reports to the Senior Vice President for Academic Affairs. Budgets are built up locally following central guidelines and directives. Each college or other major budget center (museums, library, plant operations, human resources, community relations) is headed by an individual, such as a dean or director, who is responsible for all financial functions of his or her respective unit.

The Senior Vice President for Academic Affairs, the Vice President for Administrative Services, the Associate Vice President for Financial and Business Services, the Assistant Vice President for Auditing and Risk Services, and the University's Chief Investment Officer work collaboratively to manage a variety of discretionary funds. The Associate Vice President for Budget and Planning and the budget director are the primary liaisons on budget matters with the Board of Regents and their staff (Office of the Commissioner). The Vice President for Administrative Services works with the Board of Regents and Office of the Commissioner on matters related to investment policy, vehicles, insurance, and so on.

The Senior Vice President for Health Sciences and members of his immediate staff are responsible for the budgets of all units reporting to the Senior Vice President for Health Sciences including the hospital and clinics. The Associate Vice President for Finance and Planning, who reports directly to the Senior Vice President for Health Sciences, is responsible for all financial and business operations of the Health Sciences Center. Reporting to the Associate Vice President for Finance and Planning are the Assistant Vice President for Finance, the Assistant Vice President for Capital Programs and Space, and the Director of Planning. In addition, each entity within the Health Sciences Center employs one or more people responsible for its consolidated financial operations. Most departments within the Colleges of Health, Nursing, and Pharmacy and the School of Medicine also employ administrative managers who are responsible for all financial and administrative functions of the departments. All financial and administrative managers report directly to the dean, department head, or director of their unit and have a dotted-line reporting relationship with the Assistant Vice President for Finance.

Integration of the budget process occurs at various levels. For example, all operating budgets except those of the hospitals and clinics run on software maintained by the Office of Budget and Institutional Analysis. The Vice President for Administrative Services and the Associate Vice President for Budget and Planning are members of the Hospital's Budget and Finance Committee, which meets monthly to review the financial situation and budgets of the University's various hospitals and clinics. The two senior vice presidents work as a team to provide budget advice to the President, who ultimately approves all budgets.

7.C.3 All expenditures and income from whatever source, and the administration of scholarships, grants in aid, loans, and student employment, are fully controlled by the institution and are included in its regular planning, budgeting, accounting, and auditing procedures.

Funds coming into the institution—from whatever source—become institutional funds. Once the institution accepts and records these resources as revenues, their usage is subject to institutional policies and procedures, including proper planning, budgeting, accounting and auditing. The administration of financial aid funds is the responsibility of the Office of Student Financial Aid, which, working with the various colleges and departments on campus, controls the award, disbursement, and monitoring of such funds for the University as a whole.

7.C.4 The institution has clearly defined and implemented policies regarding cash management and investments which have been approved by the governing board.

University Policy 3-5 on "Investments" sets forth specifics for complying with applicable statutory provisions, including the State Money Management Act, the rules of the State Money Management Council, the Uniform Management of Institutional Funds Act, and policies of the State Board of Board of Regents and the Board of Trustees. In addition, the University has established certain cash management pool guidelines that require operating funds originating with the state and other public funds be invested only in authorized investments in accordance with Section 51-7-11 of the State of Utah Money Management Act [Authorized Deposits or Investments of Public Funds.] Donated funds shall be invested only in authorized investments in accordance with Section 51-7-11 of the State of Utah Money Management Act, and Rule 2 of the Rules of the State Money Management Council.

7.C.5 The institution's accounting system follows generally accepted principles of accounting.

The University utilizes an accounting system built and sold by Oracle Corporation. It is a fully functional system for recording, categorizing, summarizing, and reporting financial transactions in accordance with generally accepted accounting principles, using the economic resources measurement focus and the accrual basis of accounting. According to the annual Independent State Auditor's Reports, our financial statements are in conformity with generally accepted principles of accounting.

7.C.6 For independent institutions, the governing board is responsible for the selection of an auditing firm and receives the annual audit report.

Not applicable. University of Utah is a public institution.

7.C.7 Independent institutions are audited annually by an independent certified public accountant and the audit is conducted in accordance with generally accepted auditing standards. The audit includes a management letter. A summary of the latest audited financial statement is made available to the public.

Not applicable. University of Utah is a public institution.

7.C.8 A proprietary institution makes available annually a financial summary which includes, as a minimum, a list of company officers, a statement of profit and loss, expenditures, indebtedness, and companies which have a controlling interest in the institution.

Not applicable. University of Utah is a public institution.

7.C.9 If public institutions are, by law, audited by a state agency, an independent audit is not required except for any funds not subject to governmental audit.

The University is, by law, audited by the State Auditors Office, which functions, in effect, as an independent audit firm. All funds of the University are encompassed in the annual financial audit conducted by that office. The "single audit" of federal governmental funds, or the (OMB Circular) A-133 audit, as it is sometimes referred to, is also conducted by the State Auditor's Office, which is considered "independent" in relation to the University.

7.C.10 All funds for financial aid and other specific programs not subject to governmental audit are audited annually by an independent certified public accountant and include a management letter.

Financial aid, whether federal or internal, is audited annually by the State Auditor's Office, which functions as an independent auditor for both the financial audit and the single audit, as described in item 7.C.9. These audits include a management letter as part of the deliverables.

7.C.11 The institution demonstrates a well-organized program of internal audit (where appropriate) and control that complements the accounting system and the external audit.

The University of Utah internal auditing program is established and governed by University policy 3-23. According to the policy, "The Internal Audit Department derives its authority directly from the Board of Trustees and the President, and is authorized to conduct such reviews of University organizational units or functional activities as are necessary to accomplish its objectives. Internal audit is authorized access to all records, personnel, and physical properties relevant to the performance of audits. The Internal Audit Department is charged with the responsibility to review the fiscal operational and administrative operations of the University. It is intended to be a protective and constructive link between policy-making and operational levels."

The Internal Audit director reports to the president regarding audits and to the Vice President for Administrative Services for administrative matters. Annual audit plans are approved by both the President and Vice President for Administrative Services. Active oversight for the auditing program is provided by an audit committee of the Board of Trustees.

The Internal Audit Department is currently staffed by nine professional auditors. The department completes 30-45 audits and investigations annually. It also provides informal advice and counsel on internal control matters and administers an ethics and compliance hotline.

7.C.12 The institution demonstrates that recommendations in the auditor's management letter accompanying the audit report have been adequately considered.

The University has well-established policies and practices to ensure appropriate action is taken regarding audit recommendations. For internal audits, University policy requires a written response to each audit recommendation by line management of the audited unit. The relevant vice president is also required to respond that he or she has reviewed the audit report and will monitor corrective actions. A formal follow-up review is conducted approximately 6 months after each audit report is issued, and the status of each recommendation is reported to the president and audit committee. The President and audit committee are also provided a semiannual report summarizing all audit recommendations that are awaiting action.

For external audits, a written response to each recommendation is also requested and obtained from responsible line managers. All management letters are submitted to and reviewed by the audit committee, which evaluates the adequacy of management's responses and the sufficiency of corrective actions.

7.C.13 Federal, state, external, and internal audit reports are made available for examination as part of any evaluation conducted by the Northwest Commission on Colleges and Universities.

Federal, state, external, and internal business audit reports are maintained on file by the associate vice president for financial and business services, and are available for review as part of any accreditation evaluation.

STANDARD 7.D – FUNDRAISING AND DEVELOPMENT

Any organized development program to seek financial support from outside sources is closely coordinated with academic planning and reflects the mission and goals of the institution.

The University's development effort is two-pronged: (1) a central Development Office, under the direction of the Vice President for Institutional Advancement, charged with raising money for general University priorities and with assisting campus units, and (2) area officers assigned to all of the schools and colleges and to many of the other academic and nonacademic areas. Area-assigned officers work under the direct supervision of the deans and directors of their programs, and coordinate their fund-raising goals with the academic mission laid out by those supervisors. The central Development Office establishes fund-raising priorities and development goals based upon a needs assessment process, initiated by the academic units and reviewed and confirmed or revised by the President, senior vice presidents, and the Development Priorities Committee, to ensure development efforts are in alignment with the University's mission and goals.

7.D.1 All college/University fund raising activities are governed by institutional policies, comply with governmental requirements, and are conducted in a professional and ethical manner.

All college/University fund raising activities are governed by policies adopted by the Board of Trustees and overseen by the Vice President for Institutional Advancement. The activities are conducted in a professional and ethical manner consistent with guidelines adopted by CASE, the National Committee on Planned Giving, the American Committee on Gift Annuities, and other professional organizational serving the development community.

7.D.2 Endowment and life income funds and their investments are administered by an appropriate institutional officer, foundation, or committee designated by the governing board. The organization maintains complete records concerning these funds and complies with applicable legal requirements.

Under the Uniform Management of Institutional Funds Act (Utah Code 13-19), the University's Board of Trustees is the governing board responsible for the investment and administration of endowment and life income funds. With the adoption of the University's new Investment Policy for Endowment Funds, the Board of Trustees delegates responsibility for investment of endowment funds to the Vice President for Administrative Services and the Chief Investment Officer. The accounting for endowment and life income funds is the responsibility of the Associate Vice President for Finance and Business Services, who reports to the Vice President for Administrative Services. The Chief Investment Officer is responsible for reporting on the investment of endowment funds to the Board of Trustees and the Board of Board of Regents. These reports contain an assertion by the Chief Investment Officer that the institution is in compliance with the Uniform Management of Institutional Funds Act.

7.D.3 The institution has a clearly defined relationship with any foundation bearing its name or which has as its major purpose the raising of funds for the institution.

Not applicable. No separate fund raising foundation exists. All such activity is handled within the formal University structure.

Summary

Commendations

- Financial planning is taken seriously by a broad range of individuals at the University. Even though the planning is decentralized, the level of teamwork across campus is exemplary. There are very few surprises caused by failure to communicate.
- Resources overall are adequate at this time to fulfill the University's mission. The University is not well funded compared to similar institutions, but we have found ways to carry out our tripartite mission with the resources at our disposal.
- The University has adequate financial reserves. Net assets have increased rapidly over the past 5 years.
- Since the last reaccreditation in 1996, the University has greatly increased the level of expertise brought to bear on its investments and has succeeded in getting legislation passed rationalizing and streamlining the rules and regulations within which long-term (endowment) and short-term (cash management) investments can be undertaken.
- The University recently commissioned an actuarial study on post- and early retirement benefits. Long-term liabilities were shown to be modest. Reductions in benefits will reduce postretirement benefits to zero by 2008. Early retirement benefits are voluntary and can be accommodated within existing budgets.
- The University has been relatively successful in fund raising compared to peers.

Challenges

- Should one or more of our major revenue streams deteriorate long-term, we might find it necessary, as we have in the past, to create special planning groups to advise the senior administration.
- The University does experience inadequate resources from time to time in particular areas. Support for our research and development mission (start-up costs for experimental scientists) is the most notable example. This situation could get worse in the years ahead, although the new state funding for applied research and development will help. We are working on ways to mitigate the problem and will continue doing so indefinitely. No single or final solution is likely.
- The University is in a transition period with new leadership and the beginning of another capital campaign. Resources have been found to build on our prior success. Discussions have been undertaken across campus on the ways and means of achieving the necessary coordination, which is always a challenge.

STANDARD 8
PHYSICAL RESOURCES

TOGETHER WE REACH.

STANDARD 8.A – INSTRUCTIONAL AND SUPPORT FACILITIES

8.A.1 Instructional facilities are sufficient to achieve the institution's mission and goals.

Each regular term we schedule several thousand classes in approximately 200 classrooms. At the present time, we are able to schedule all of the classes our academic departments wish to teach. We do not, however, have enough classrooms to allow all of those classes to be taught in "prime time," that is, in the 7:30 AM to 2:00 PM time frame that consistently is the most popular period among both students and faculty.

We are not always able to match the size of the classroom with the capacity or enrollment limit desired by the instructor. According to the Scheduling Office, we could profitably make use of more classrooms in the middle size range of 80 to 120 seats.

8.A.2 Facilities assigned to an instructional function are adequate for the effective operation of the function.

Many University facilities are adequate, but many are not. Our rough estimate is that 40% of our classrooms are inadequate in one way or another. Lighting is a feature often found wanting. Lighting needs today, with the growing prevalence of electronic technology in teaching, are different from those in prior times. For example, windows that once were helpful for the light they provided now let in light that can wash out electronic presentations. We need more control over the lighting in rooms than a simple on-off switch provides.

The classroom situation will improve. A total of 58 new classrooms will be available in five buildings over the next several years, starting this year with the opening of the Health Sciences Education Building serving four colleges. We are in the early stages of planning for a general purpose classroom building in the heart of campus. If successful, this building would allow us to decant and remodel our main classroom building, Orson Spencer Hall.

Closing the Loop: Helping Ensure Adequate Facilities

An ongoing effort to evaluate the quality of furnishing and similar resources continues to identify small projects that should be undertaken to improve the teaching/learning environment for students and faculty. To address these items, the University has a modest base budget for classroom improvements over and above the regular remodeling budget. The Classroom Improvement Committee allocates the funds. Over the past couple of years, for example, this has resulted in replaced lecterns and instructor tables in every classroom, replaced chairs in poor condition, upgraded lighting in 10 large classrooms, remodeling of four of seven large auditoriums (lighting, seating, and sound), upgraded electronics in a number of classrooms, and replacement of about 30% of blackboards (chalk dust is bad for electronics) with whiteboards. About 70 of our classrooms have built-in projection systems. We will have nearly 100% with Internet access by the end of fiscal year 2006. This steady improvement coupled with new facilities will result in a much better percentage of fully adequate facilities, within a reasonable amount of time.

8.A.3 The institution's facilities are furnished adequately for work, study, and research by students, faculty, and staff.

The University's physical plant includes 300 buildings, some in better shape than others with respect to furnishings. We rely on unit heads to ensure adequate furnishings are in place for offices. We have a centrally run property redistribution system that allows units with relatively fewer resources to secure furnishings relinquished when more affluent units purchase new furnishings. We operate on cycles wherein rooms are periodically repainted and recarpeted, but several budget cuts over the last decade have resulted in the lengthening of those cycles. We have a central budget for classroom chairs and another central budget to address other classroom furnishings. Classrooms are inspected regularly for appearance and livability.

In a 2005 faculty survey, 81% were satisfied or extremely satisfied with their office space. As a point of comparison, the comparable figure for satisfaction with salaries was just 48%.

In a 2005 survey of graduate students, 85% of 1,622 respondents rated our buildings and library facilities as good or excellent. They were less enamored with the space and facilities in their respective programs, which garnered just 58% in the good or excellent category. In a 2005 survey of graduating seniors, 87% of 1,076 respondents rated our library facilities and services as good or excellent. In a 2005 survey of transfer students, 60% of 569 respondents indicated our academic and recreational facilities were important or very important factors in their decision to enroll at the University.

8.A.4 The management, maintenance, and operation of instructional facilities are adequate to ensure their continuing quality and safety necessary to support the educational programs and support services of the institution.

The University of Utah supports education programs and services as follows:

Plant Operations has in place a preventive maintenance program that requires trained technicians to inspect, adjust, repair, and if necessary, replace components and systems critical to the continuous operation of facilities. This program, established decades ago but enjoying continuous technological enhancements, exists to extend the useful life of critical (primarily) mechanical/electrical assets to minimize failure and to prevent unscheduled down time. There are 7,272 items on the preventive maintenance program, representing 68,495 hours of scheduled services and costing $2,235,000 annually for equipment identified as being "mission critical."

Management also has available various reports (on-demand, weekly, monthly, etc.) that enable monitoring of scheduled and unscheduled maintenance and repair projects to help insure that work is completed on a timely and cost-effective basis (see Appendix 8.1, Activity Log Management Report). This information is available and provided to each of the organizational units within Plant Operations.

Through the use of self- and peer-evaluations, and information provided by and through relevant professional associations, the use of resources is constantly monitored and adjusted as necessary. For example, Plant Operations personnel utilize reports such as the Annual Service Call Information Report (see Appendix 8.2), which provides information on an annual basis of maintenance service call reports by building and craft shop. It indicates where trouble calls are coming from and the number any one craft shop is receiving. It also allows staff to identify the types of buildings (research, classroom, etc.) from which trouble calls are received, so resources can be deployed accordingly. Specifically the information in this report identifies the number of service calls received by shop, division, and department; the number of trouble calls received by the various buildings and types of buildings; and year-over-year changes in the number of service calls. For instance, between the years 2003-04 and 2004-05 the number of service calls remained about the same (9,286 versus 9,354), which helped to validate Plant Operations resource size and allocation. The same was true for service calls for research, classrooms, and office space, which also remained about the same. By contrast, the Electric Shop service calls increased from 1,550 to 1,944. As a result, the work week was adjusted upward to provide a work force on campus during minimal occupancy (Fridays and Saturdays), allowing for more efficient and increased preventive maintenance activities. The Elevator Trouble Call Report (see Appendix 8.3) specifies the number of trouble calls received for each elevator on campus and helps to facilitate discussion by Plant Operations staff with the elevator service company regarding maintenance, repair, and replacement strategies to minimize inoperable units. It also identifies whether elevator operation in buildings is improving, staying the same, or deteriorating. Similar analyses occur for all craft shops.

Although construction and remodeling efforts are managed independently of maintenance personnel, the latter have significant control over the types of designs and components acceptable to the University and can exert their influence from early design stages to final inspections.

The University of Utah has received national recognition for its leadership among its peers regarding the effective management of the use of energy and water. Although these efforts have not kept pace with the rate of inflation associated with the cost of energy, they have had a significant impact on controlling total costs, thereby avoiding the burdening of otherwise nonrelated programs (see Appendix 8.4 for data on the consumption of electricity and water over the past 2 years).

In collaboration with other campus departments and state agencies, an independent consultant has developed a "needs backlog" that identifies projects to be programmed for funding in future years in order to help assure safe and continuous operation. The legislature, reacting to the list of projects thus identified, has developed and implemented a funding formula based on asset value. This allows the annual allocation of a substantial sum of "capital improvements" funding that helps the University address those critical needs. Each year, as the funding request cycle is initiated, the previously prioritized needs are further refined, priced, and ultimately submitted for funding. The independent consultant inspection identified over 2,100 prioritized items, each of which will require various levels of attention.

Facilities Management, of which Plant Operations is a component, has streamlined its internal processes by identifying and assigning improvement and renewal projects to departmental project managers who are responsible for completing assignments on a timely and effective basis.

8.A.5 Facilities are constructed and maintained with due regard for health and safety and for access by the physically disabled.

All new facilities are constructed with architectural designs and plans which adhere to all building codes, health and safety codes, Americans with Disabilities Act (ADA) compliance codes, and design standards (see *www.facilities.utah.edu/cdc/DesignStandards/DesignStandards.html*). The University has several processes, detailed below, designed to ensure that new facilities, as well as significant remodeling projects, pay appropriate attention to these and other pertinent regulations and codes.

A campuswide Health and Safety Committee, with a wide membership base, reviews and seeks out issues and opportunities related to creating a healthy and safe environment for the University community. In turn, its members and subcommittees work with and through key campus organizations (e.g., offices of Public Safety, Risk Management, Environmental Health and Safety, Plant Operations).

Within the last year, the University has designated a building code official. This full-time employee issues permits for all pertinent work on campus, whether it be new construction or replacement of existing facilities, with a critical eye on all codes and with special attention being paid to ADA Accessibility Guidelines.

There is a standing contract with a fully certified, independent International Conference of Building Officials inspector whose assignment is to review all plans and designs and identify and cause to be rectified all code violations developed during the design process. This person also inspects construction projects.

Two offices monitor design and construction activities regarding potential ADA Accessibility Guidelines issues: The Office of Equal Opportunity and the Center for Disability Services. Woven into this fabric is an "accessibility committee" whose function is to identify and seek funding and to rectify urgent, existing conditions that otherwise might not receive attention in the foreseeable future. For example, the committee determined in 2003 that the Social Work Building required an upgraded elevator to achieve ADA compliance. They brought the matter to the attention of Facilities Management, who in turn sought funding through the State Capital Improvements process. The end result was a fully accessible elevator constructed within the current building envelope. The project also included three new accessible restroom facilities within the building.

The Department of Environmental Health and Safety, through its fire prevention officer, an industrial hygienist, as well as other specialists, reviews both existing facilities as well as new designs and construction projects to insure that all known issues in those arenas are resolved. Maintenance supervisors are tasked to review plans and visit construction sites in order to identify code violations in their particular areas (i.e., electrical, water, etc.) and to see to it that any such violations are rectified.

The Health and Safety Committee and the other stakeholders mentioned above have direct input into the formulation of the University's design guidelines. These guidelines direct the design process as new plans are developed and address (either directly and/or by reference) pertinent codes and regulations.

8.A.6 When programs are offered off the primary campus, the physical facilities at these sites are appropriate to the programs offered.

The University provides instruction at four satellite centers in or near the Salt Lake City metropolitan area. Academic offerings at these sites do not include wet lab or studio courses with one exception (a long-standing ceramics program at Bountiful). Students typically have access to computers and network connectivity.

The off-campus centers are:

- Bountiful, located 15 miles north of the University of Utah's main campus. We lease the entire 32,800 square foot facility, which contains 15 classrooms, a gymnasium, and a 22 station student computer lab. We began leasing the facility in 1981, and our current lease extension runs through June 30, 2007. The University served 2,048 students at the site during the 2004-2005 academic year.
- Sandy, located 15 miles south of the University of Utah's main campus. We lease the entire 20,000 square foot facility, which was built specifically for the University in 1993. The site has 12 classrooms, each of which is internet-capable. The site also has two student computer labs, one with 22 stations and one with nine stations. We began offering classes in the facility in 1994. Our current lease expires on September 30, 2009. The University served 3,763 students at the site during the 2004-2005 academic year.
- Murray, located 10 miles south of the University of Utah's main campus. We lease a total of 11,765 feet in this multibuilding complex, which was built in 1979. The facility has 12 classrooms, each of which is internet-capable. The site has a 22 station student computer lab. We began leasing this space in August, 1995. Our current lease runs through August, 2007. The University served 2,148 students at the site during the 2004-2005 academic year.
- Park City, located 27 miles east of the University of Utah's mail campus. We lease 3,222 square feet of space in a building that has multiple tenants, including the Park City Library. The site has three classrooms, each of which is internet-capable. The site also has an art instruction room. The University began leasing space in Park City in 1979. We moved into our current location in February, 1993. Our current lease runs through June 30, 2008. The University served 372 students at the site during the 2004-2005 academic year.

8.A.7 When facilities owned and operated by other organizations or individuals are used by the institution for educational purposes, the facilities meet this standard.

Other than the off-campus facilities described in 8.A.6, the University does not lease space for educational purposes.

STANDARD 8.B – EQUIPMENT AND MATERIALS

8.B.1 Suitable equipment (including computing and laboratory equipment) is provided and is readily accessible at on- and off-campus sites to meet educational and administrative requirements.

We believe we are in reasonably good shape with respect to equipment, particularly computers. Approximately 34,000 devices are connected to the University computing network. The University participates in the high-speed networks connecting major universities.

The University's Center for High Performance Computing provides large-scale computer resources to facilitate advances in the field of computational science. The projects supported by the Center for High Performance Computing come from a wide array of disciplines requiring large capacity computing resources, both for calculating the solutions of large-scale, two- and three- dimensional problems and for graphical visualization of the results.

The University provides student computer labs in numerous locations across campus and at our four off-campus teaching centers operated by Academic Outreach and Continuing Education. A total of 2,820 computers can be found in these labs, or one computer for every 10.3 students. In a 2004 survey, 80% of 1,221 graduating seniors rated their experience with the "University computer labs" as good or excellent. Just 2% rated the labs as poor.

Twenty-five percent of our students own laptop computers and are able to get connectivity in most locations on the campus. By the end of fiscal year 2005-06, wireless connectivity will be essentially ubiquitous across the campus.

In another 2004 survey, 71% of 1,622 graduate students thought the University's "computer facilities" were either good or excellent. Just 3% felt those facilities were poor.

In a third 2004 survey, 65% of 439 first-year students either agreed or strongly agreed the University has "high quality classroom and laboratory facilities." Six percent of the respondents disagreed.

With help from the state, we have devoted considerable resources to upgrading instructional lab facilities in the College of Engineering. Over the past 7 years, we have spent over $4 million on our labs using funds designated specifically for that purpose. In addition, a large portion of another $4.7 million spent renovating the Merrill Engineering Building was used to enhance classrooms and instructional labs. Our recent successful reaccreditation by the Accreditation Board for Engineering and Technology included a detailed assessment of our instructional facilities in engineering.

In a 2005 survey of faculty, 73% of 343 respondents indicated they were satisfied or extremely satisfied with their research/laboratory space.

We believe we have the proper administrative equipment in place across campus, but the responsibility for ensuring that staff and administrators have the equipment they need lies with the respective units. There is centrally provided support for network connectivity for information technology equipment. Pertinent budget requests that end up at the vice presidential level typically involve the hiring or retention of information technology staff, rather than the purchase of equipment which suggests most Information Technology equipment needs are being met within existing budgets.

8.B.2 Equipment is maintained in proper operating condition, is inventoried and controlled, and replaced or upgraded as needed.

The University has extensive, detailed written policies covering the manner in which equipment is to be maintained, inventoried, and controlled. With respect to maintenance, the *Policies and Procedures Manual* 3-40 reads as follows: "It is the responsibility of the account executive to properly maintain government or University property which has been entrusted to him/her. The account executive shall, if requested, apprise the manager of the Property Accounting Department of the condition of any government property in his/her possession."

With respect to verification of inventory records, the *Policies and Procedures Manual* 3-40 reads as follows:

"At least annually, Property Accounting will send each department a list of the capital equipment for which it is accountable. The department shall verify the existence, condition and location of each item in accordance with instructions provided by Property Accounting. The department head must approve the completed inventory which must be returned to Property Accounting within sixty (60) days, unless an extension is requested and granted. Inventories not returned on a timely basis will be brought to the attention of the cognizant vice president for review and appropriate follow-up. Departments shall not be relieved of accountability for unlocated property in the absence of diligent effort and review and approval by responsible administrators. If an item cannot be located, the head of the department shall certify that a thorough investigation has been made before approving the inventory listing. Approval from the cognizant vice president must be obtained to remove unlocated items from the records."

Policies governing equipment acquisition, maintenance, and control (inventory, transfer, disposal, etc.) can be seen at *http://www.admin.utah.edu/ppmanual/3/3-40.html.*

The University operates in a decentralized fashion. Unit heads bear the responsibility of ensuring that equipment used by staff and faculty is replaced and upgraded as needed. The only exception is the equipment in student computer labs. This equipment is replaced and upgraded on a 3-year cycle across the campus.

8.B.3 Use, storage, and disposal of hazardous materials are in accordance with the institution's prescribed procedures.

The University of Utah is committed to compliance with our environmental permits and the laws and regulations that protect the natural environment. Moreover, the University embraces an environmentally sustainable future that includes the use of renewable sources of energy, energy conservation, water conservation, pollution prevention, recycling, and environmentally conscious land-use planning. Chemical safety is inherently linked to other safety issues including laboratory procedures, personal protective equipment, electrical safety, fire safety, and hazardous waste disposal.

To these ends the University's Office of Environmental Health and Safety manages environmental programs in the following areas:

Hazardous materials and waste management

Laboratory chemical reuse and recycling

Used oil recycling

Air quality permitting and compliance

Storm water pollution prevention

Municipal separate storm sewer system compliance

Oil spill prevention and response.

The Office of Environmental Health and Safety provides oversight for safe and compliant chemical handling at the University, including hazardous materials disposal. Environmental Health and Safety provides guidance on how to purchase, store, use, properly package and label chemicals. Materials picked up by Environmental Health and Safety are recycled, used by someone else, or disposed of at an EPA approved facility. Complete instructions are provided at *http://www.utahehs.org/index.*

php?tier=2&id=19. Environmental Health and Safety ensures compliance through audits and regulatory reporting, plan reviews, and incident response.

STANDARD 8.C – PHYSICAL RESOURCES PLANNING

8.C.1 The master plan for campus physical development is consistent with the mission and the long-range educational plan of the institution, and the master plan is updated periodically.

The campus master plan continues to be consistent with the mission and the long-range educational plan for the University. To assess the challenges and opportunities represented by educational plans, the University began in early 2003 to update its 1997 long range development plan. The result, the 2003 Long Range Development Plan Supplement, represents the first phase of inquiry. The update was intended to address immediate planning concerns and help inform the strategic planning process. The strategic plan, now in place, will guide a more comprehensive and ongoing physical planning process. The Office of Facilities Planning continues to meet with President Young, vice presidents, deans, department heads, and others to assess the capital facilities required to support the University's mission and goals. The University will typically commission fully comprehensive master planning exercises in 7- to 10-year cycles.

8.C.2 Physical facilities development and major renovation planning include plans for the acquisition or allocation of the required capital and operating funds.

As projects for facilities development and major renovation are planned, both capital expense and operating costs for each project are identified. Detailed planning (design, program planning) may not be started until the appropriate vice president (typically one of the two senior vice presidents) indicates that capital expense funding is in place. At any given time, the senior vice presidents, the administrative vice president (particularly if the project will involve issuing debt), and the respective deans will be working on funding packages for a variety of capital projects.

A funding model, developed by the facilities managers of higher education in Utah, submitted and approved by the State Board of Board of Regents, as well as the State Building Board, determines the amount of funding to be requested and allocated for operations and maintenance. Operations and maintenance requests are ultimately submitted to the legislature for approval if support from state appropriations is in order. In some cases, for example, when a new building is devoted entirely to clinical activities, state support may not be requested. In these cases, financial commitments for sustainable operations and maintenance are required prior to any project receiving authorization to proceed.

8.C.3 Physical resources planning addresses access to institution facilities for special constituencies including the physical impaired and provides for appropriate security arrangements.

The University receives funding to address access needs for the physically impaired. An accessibility committee has been established to review access needs, prioritize identified needs, and fund projects based on available resources. In a typical year, \$50,000 to \$100,000 is spent for such purposes.

8.C.4 Governing board members and affected constituent groups are involved, as appropriate, in planning physical facilities.

Planning for future facilities may not begin without the initial approval of the Board of Trustees. Subsequent approvals are required by the Board of Board of Regents, the State Building Board, and the legislature for facilities paid for in whole or in part by state appropriations or that will receive state operations and maintenance funding. In all cases, constituent groups are directly involved in the detailed planning (design and programming) for new construction.

Summary

Commendations

Instructional and Support Facilities

- On the whole the University has enough space for instruction and related support functions. A signification portion of classrooms and instructional labs, however, is not at the quality level we want. The University has ongoing albeit modest base funds devoted to gradually upgrading substandard instructional space and longer-term strategies to replace such space altogether. Progress has been made in recent years in enhancing older space and substantial new classroom space will be coming on line in the next couple of years. Faculty and students are reasonably satisfied with instructional space.
- The maintenance and operation of the space is undertaken systematically. A variety of data systems are in place to ensure that problem areas can be revealed quickly and that routine maintenance is done according to schedule. The University has taken a proactive approach in addressing access issues for the physically disabled.

Equipment and Materials

- Faculty and students are reasonably satisfied with equipment and materials. Appropriate policies and procedures are in place for inventory and control purposes. Equipment, especially those items related to information technology, is replaced on a regular basis. Appropriate policies and procedures are in place to deal with hazardous materials.

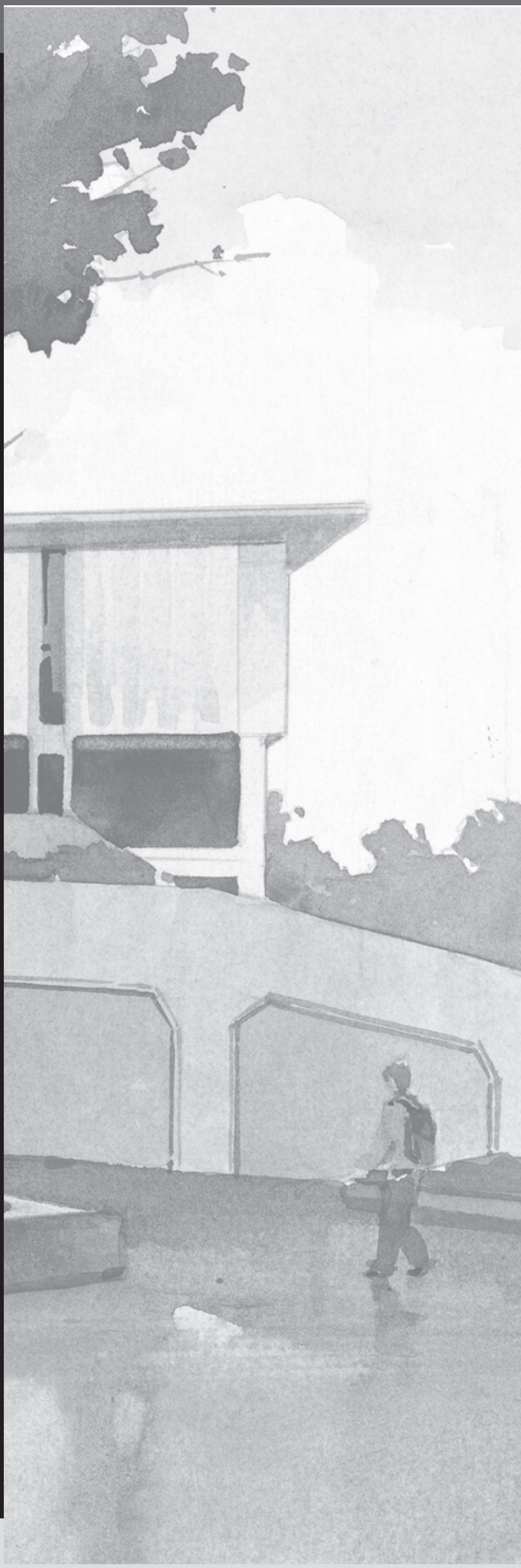
Physical Resources Planning

- There is no question that the University spends a good deal of time and effort on planning for physical resources. Much of that effort is spent raising the necessary funding by working with the legislature, state agencies, or donors, or by finding the resources internally. Staff members from across the University work on plans for specific buildings as well as plan for building out the campus. Master planning has not been done for a while. Accordingly, we have begun the background work (for example, delineating the scope of work, identifying the resources needed to pay for consulting) and will commence master planning in the fall of 2006. Our assessment is that our planning for physical resources is at least adequate.

Challenges

- Like most public institutions, the University of Utah experiences times when fiscal resources to support facilities, equipment, and materials are either inadequate or provided on an untimely basis. This is a reality shared by other segments of the State of Utah's infrastructure including transportation, health and welfare services, and other public services.
- The fact that the legislature cannot provide funding to fill all of the physical plant needs of the University of Utah means that a significant portion of new construction must be paid for through fundraising from private sources.

STANDARD 9
INSTITUTIONAL INTEGRITY



TOGETHER WE REACH.

STANDARD 9 – INSTITUTIONAL INTEGRITY

9.A.1 The institution, including governing board members, administrators, faculty, and staff, subscribes to, exemplifies, and advocates high ethical standards in the management and operations and in all of its dealings with students, the public, organizations, and external agencies.

Closing the Loop: Increasing Ethics Awareness

In fall 2005, following an assessment of the University's institutional focus on ethics, and media reports of multiple ethical lapses in the business world, the Office of the President partnered with the Division of Human Resources to launch a comprehensive program defining ethical standards and code of conduct for the entire University. Many policies and statements about ethical standards that had existed independently for considerable time were brought together in a single document, the Ethical Standards and Code of Conduct Handbook. *The handbook and each chapter were introduced in an extraordinary meeting of President Young, all vice presidents, academic deans, and administrative directors. This ethics program objectives are to (a) communicate the University's expectation of proper conduct and what professional conduct the University values and (b) support employees in identifying and resolving potential ethical or legal issues.*

The University of Utah adheres to high ethical standards in its representation to its constituencies and the public; in its teaching, scholarship, and service; in its treatment of its students, faculty, and staff; and in its relationships with regulatory and accrediting agencies. Evidence for compliance with Standard 9 is found in a comprehensive set of Policy and Procedure documents and actions by the institution and in the more recent *Ethical Standards and Code of Conduct Handbook*.

Evidence for the comprehensive nature of ethical standards and code of conduct at the University is found in the table of contents for the handbook (*www.utah.edu/ethicalstandards/*). Contents include ethical conduct, representing the University, contracts obligating the University, ethics in research, government investigations, being a University employee, managing conflict of interest, respecting confidentiality, following good business practices, stewardship of University assets, proper accounting for University assets, safeguarding University records, using computer, network and telephone resources, ethics, and reporting employee safety. A series of chapters addresses specific concerns for the health sciences: code of conduct and ethical standards specific to the health care environment, patient care services, University health care compliance office and compliance hotline, privacy and security, accuracy of records, billing practices, Stark and anti-kickback laws, and interaction with competitors.

In addition, the State Board of Board of Regents' policies contain stipulations dealing with personal conduct of higher education board employees, conflicts of interest, and related business issues. These are described at *http://www.utahsbr.edu/policy/r922.htm, http://www.utahsbr.edu/policy/r925.htm, and http://www.utahsbr.edu/policy/r923.htm*.

Similar prohibitions for the board itself are included in their bylaws available at *http://www.utahsbr.edu/policy/r120.htm.*

9.A.2 The institution regularly evaluates and revises as necessary its policies, procedures, and publications to ensure continuing integrity throughout the institution.

The University *Policies and Procedures Manual* is continually updated and revised to reflect changes that have been through the institutional approval process. For example, the *Policies and Procedures Manual* shows changes on topics such as violence and the workplace and academic environment (4/10/2006), staff employee grievances (2/13/2006), Code of Student Conduct (2/3/2006), and Code of Faculty Rights and Responsibilities (4/18/05). Evidence of the regular updating of policies and procedures can be found through a careful review of the *Policies and Procedures Manual*, which shows the date of each entry or revision. The manual is available at *http://www.admin.utah.edu/ppmanual/*.

9.A.3 The institution represents itself accurately and consistently to its constituencies, the public, and prospective students through its catalogs, publications, and official statements.

To the extent humanly possible, the information printed in the University's catalogs, publications, and official pronouncements is accurate. Changes, however, do occur and this is pointed out in the *General Catalog* with the notation that the information is current as of the time of printing but may be changed without notice. Readers are encouraged to consult the online catalog for the most recent updates and curriculum changes.

9.A.4 Institutional policy defines and prohibits conflict of interest on the part of governing board members, administrators, faculty, and staff.

As described in 9.A.1, all individuals associated with the University are covered by written conflict of interest policies. These are contained in the documents cited above.

9.A.5 The institution demonstrates, through its policies and practices, its commitment to the free pursuit and dissemination of knowledge consistent with the institution's mission and goals.

The University *Policies and Procedures Manual* states: "Academic freedom in the pursuit and dissemination of knowledge through all media shall be maintained at the University of Utah. Such freedom shall be recognized as a right of all members of the faculty, whether with or without tenure or continuing appointment, of all administrative officers, and of all students. The University of Utah endorses the 1961 statement of the American Association of University Professors concerning recruitment, resignations, the 1940 "Statement of Principles on Academic Freedom and Tenure" of the American Association of University Professors and the Association of American Colleges, and the 1965 "Statement on the Academic Freedom of Students" of the American Association of University Professors. In addition, the *Policies and Procedures Manual* provides for an Academic Freedom and Tenure Committee charged with " the power to investigate, either on its own initiative or at the request of any member of the University community, into any matter which the committee reasonably believes may involve violations of academic freedom at the University."

Summary

Commendations

- The University of Utah has a strong record of maintaining institutional integrity. This is reflected in efforts to enhance ethical awareness and practices; evaluate and revise institutional policies, procedures, and publications; and accurately describe all aspects of University life to stakeholders, including the general public. It also has a substantial record of commitment to academic freedom.

Challenges

- At the same time, challenges facing the University include occasional differences of opinion with legislative bodies over issues such as institutional autonomy. There is also an inevitable tension between a conservative state and a University dedicated to the free exploration of ideas. These challenges are not unique to the University of Utah, but they nevertheless represent ongoing struggles that must be overcome or at least managed effectively.

TOGETHER WE REACH.

SELF-STUDY REFLECTIONS: THE UNIVERSITY OF UTAH IN 2006

This self-study of the University of Utah was undertaken with the goal of providing a thorough, comprehensive, and up-to-date description of the structure, programs, and processes that characterize the University. The self-study involved people from many sectors of the campus. After more than a year of meetings, discussions, and writing, we collectively recognize patterns of strengths, limitations, and challenges for the institution. This section of the self-study summarizes our strengths in a series of commendations. The narrative then identifies challenges facing the University and describes plans or actions already begun to address the challenges. We begin, though, with an analysis of the University's accreditation status with respect to eligibility requirements and standards and policies outlined in the 2003 Edition of the *Northwest Commission on Colleges and Universities Accreditation Handbook.*

Compliance with Eligibility Requirements and Standards

As evidenced in this institutional self-study, in the required documents, and in the exhibits from all parts of the campus, the University of Utah meets eligibility requirements and standards for reaffirmation of accreditation by the Northwest Commission on Colleges and Universities. The paragraphs that follow present a brief summary of this compliance.

The University has formal authority to grant academic degrees and offer programs of instruction. The authority of the University is legislatively provided through the Utah State

Board of Regents (18 members), with institutional oversight through the University of Utah Board of Trustees (10 members). Members of the governing boards do not have contractual, employment, or personal financial interest in the institution.

The University enjoys harmony with its authorizing and oversight entities, although it clearly exercises a high degree of intellectual independence with the sometimes attendant creative stress. In some cases this independence creates a predictable tension, particularly with respect to legislators. These are not extraordinary tendencies in higher education nationwide, and clearly the University maintains the essential intellectual freedom required to offer high quality academic programs while remaining responsive to its constituents.

The institutional mission, revised by the faculty and endorsed by the Board of Trustees on January 19, 1992, and in the process of being updated, plays an important role in the operation of the University. The objectives embodied in the mission statement are aimed at providing high quality educational experiences for students, research in a wide variety of fields, and a range of services to the community, with substantially all of the income of the University being dedicated to these efforts in one fashion or another. Documents are presented verifying that the University has a funding base and financial resources adequate to carry out its mission, and confirming that financial records are externally audited annually. Institutional policy-making and operation are a shared responsibility of all stakeholders of the University, including students, faculty, staff, administrators, and board members.

University faculty members have major control and prerogatives with regard to determining curriculum, and faculty members and students are free and encouraged to examine, discover, and disseminate knowledge related to their disciplines. Such inquiry is promoted through opportunities, expectations, resources, facilities, and environmental circumstances for both faculty and students. These include, but are not limited to, extensive research libraries and learning resources, information technology resources, and sponsored student and faculty research opportunities. The University employs faculty members with expertise in the academic program areas in which major educational programs are offered. Many of these faculty have national and international reputations in their respective disciplines. Students, faculty, and staff are treated in humane and nondiscriminatory manners, and the University takes a proactive stance with respect to equal opportunity.

The programs offered by the University comply with Commission eligibility requirements regarding time to completion, degree program requirements for educational coherence, and planning of specializations. Courses of study include appropriate attention to the development of learning skills from foundational levels through high levels of specialization and independent work in a discipline. Programs of study are clearly defined and outlined, including admission requirements and expected levels and standards of student performance. These definitions are accomplished at the level of department or disciplinary specialization and are published in current catalog and program-level publications for student and faculty use.

The faculty and administration of the University readily acknowledge specific and limited areas where improvement is needed and recognize that continuous development and renewal are necessary for the University to thrive. Where limitations have been found in this self-study process, they have been highlighted and plans have been initiated to address such challenges. In some cases, as noted below, actions have already been taken to improve areas needing attention. Thus we have taken improvement seriously, although it is understood that in some cases the process of change will not occur overnight.

Overarching Findings: Commendations

The 1996 full-scale evaluation of the University of Utah identified six broad commendations. An additional five commendations emerged from the regular interim report in 2001. This 2006 self-study process revealed that most, but not all, of the campuswide strengths mentioned in these previous reports have been reinforced over the last decade. The most prominent of our current institutional strengths are listed below.

1. The University has an efficient and responsive administration that balances decentralized responsibility for programs with central support for facilities and infrastructure. The strengthened positions of two senior vice presidents (academic affairs and health sciences) combined with unusual collegiality at multiple levels (cabinet, deans council, department) have created a positive and highly effective administrative structure.

2. The University has developed comprehensive strategic plans in both health sciences and academic affairs through a broad and consultative process.

3. The University has expanded its efforts to improve the quality of the undergraduate experience. Significant contributions to the academic experience are being made by an enhanced Honors Program and individualized learning communities such as the LEAP Program and the Undergraduate Research Opportunity Program. A parallel effort by the Division of Student Affairs to attend to other needs of students complements the academic efforts.

4. There has been considerable progress in integrating the University with the community. The Lowell Bennion Center, which has a carefully developed and academically integrated service learning program, and the new University Neighborhood Partners Program are standouts in this regard.

5. Program reviews conducted by the Graduate Council are a national model. Enhanced attention to student outcomes, addition of a wrap-up meeting, and a public memorandum of understanding whereby action plans are crafted to address all recommendations constitute a comprehensive mechanism for closing the loop in assessment.

6. The University has made considerable progress in outcomes assessment. New councils have been created that both articulate and implement an institution-wide responsibility for assessment. At multiple levels there is acute awareness of the importance of "closing the loop" in the assessment process.

7. External research support has grown dramatically in the last decade.

8. The University has streamlined its technology transfer processes. A major new partnership among the state, industry, and the University will significantly advance the commercialization of research and add to the research and development capability of the state.

9. The transition of Fort Douglas from a military base to a living-learning community housing several thousand students has had a transformative effect on the campus. New residence halls were constructed in anticipation of the 2002 Winter Olympic Games. In addition to providing a superb physical enironment, they also offer exceptional living-learning communities, classes taught in cohort groups, and faculty interaction outside of the classroom.

10. The University operates under tight financial and budget control mechanisms through multiple, independent assessments reporting directly to the University President.

11. The combination of historically restored and modern buildings, attractively main-

tained grounds, and an outstanding physical setting are a source of pride for the University and the community. Multiple new buildings either under construction or in advanced planning stages will significantly enhance the teaching and research capability of the campus.

Challenges and Recommendations for Improvement

1. The University faces the continuing challenge to attract and retain highly productive faculty. The same challenge exists for retaining high quality staff. Both of these problems are related to financial pressures. In the case of faculty, the pressure comes in part from other public universities but especially from heavily endowed private research universities. In the case of staff, it is often the private sector that offers relatively attractive salaries. Utah is currently enjoying a very robust economy with an abundance of high paying jobs in areas such as information technology.

Action Plan. The University's action plan has two parts. One, we will continue to look for ways to increase salaries. For example, the central administration will continue to support compensation as the number one funding priority when seeking increased state appropriations and will make additional endowed chairs a priority in the next capital campaign. In some years, a portion of increased tuition revenue will be allocated to retention funding (i.e., funding specifically targeted to enhance the salaries of faculty and staff deemed at risk of leaving). Colleges and other budget centers will be encouraged to develop their own salary enhancement plans. This has proven to be effective over the past 2 years in the College of Social and Behavioral Science using a reallocation process and more recently in the David Eccles School of Business using revenue from a new differential tuition. Two, we will look for ways to make the University a more attractive place to work. Steps in this direction would include, for example, encouraging mentoring of young faculty by senior faculty and changing employment policies to be more supportive of employees. The Parental Leave policy adopted this past year is a good illustration of a policy that should help build faculty loyalty.

2. The University faces a growing student diversity challenge. As with much of the United States, the demographics of Utah are changing rapidly. The University's primary role is to educate students graduating from Utah high schools. In 1990 more than 90% of these students were Caucasian, non-Hispanic, but in about another decade (2017-18) approximately 30% of our high school graduates will be students of color, primarily Latina/o. At the moment less than 10% of the students at the University are people of color. We must focus attention on encouraging our diverse communities to plan their high school education so that they are ready to attend college (pipeline issues), and we must increase our efforts to both attract and support these students after they arrive (retention issues).

Action Plan. The University is currently in the process of strengthening and reorganizing its diversity efforts. We are appointing a new Diversity Council that will bring together all of our efforts in this area. This council will be chaired by a faculty member who has passion and understanding of these issues and who will also serve as a member of President Young's cabinet. We are also appointing a new associate vice president whose primary focus will be on attracting and supporting diverse students as well as a new assistant vice president who will direct new programs to increase the awareness of the University within these communities. Finally, we are greatly strengthening the resources and improving the location of the counselors/advisors serving these students. The

Diversity Council and the new administrators will develop further plans and strategies for the future.

3. Although the University has made considerable progress in the assessment of student outcomes, several challenges remain. We have increased the amount of outcomes assessment, and we have an overall outcomes assessment plan that we are following. Within that plan is a two-part structure, a Student Outcomes Assessment Council (high-level administrators) and a Working Group (research analysts) designed to give guidance and coherence to our assessment efforts. So far, that structure has not been as effective as we had hoped, particularly with respect to University-wide issues such as retention and graduation rates. The challenge is to find and implement a better structure, one that not only provides guidance and coherence but also is a "first venue" for discussion and evaluation of the results of assessment efforts so that those efforts lead to action agendas and improvements.

Action Plan. As a first step, we will conduct a retreat, currently scheduled for late summer of 2006, focused on the assessment of student success. The retreat, which will include administrators, research analysts, and students, will focus in part on the research agenda for the 2006-07 year but also on the question of the best structure to facilitate, guide, and optimize our assessment activities. Second, in addition to that discussion, we will comprehensively examine structures at other universities. Third, the Student Outcomes Assessment Council has the authority, with the approval of the Senior Vice President for Academic Affairs, to reconstitute a new committee structure. We intend to implement that structure during the fall of 2006.

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THE UNIVERSITY OF UTAH

SALT LAKE CITY, UTAH