

University of Minnesota Duluth - MN

HLC ID 1411

OPEN PATHWAY: Reaffirmation Review

Visit Date: 4/16/2018

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Context and Nature of Review

Visit Date

4/16/2018

Mid-Cycle Reviews include:

- The Year 4 Review in the Open and Standard Pathways
- The Biennial Review for Applying institutions

Reaffirmation Reviews include:

- The Year 10 Review in the Open and Standard Pathways
- The Review for Initial Candidacy for Applying institutions
- The Review for Initial Accreditation for Applying institutions
- The Year 4 Review for Standard Pathway institutions that are in their first accreditation cycle after attaining initial accreditation

Scope of Review

- Reaffirmation Review
- Federal Compliance
- On-site Visit
- Multi-Campus Visit (if applicable)

- Federal Compliance

Institutional Context

The University of Minnesota Duluth (UMD) is one of five campuses within the University of Minnesota system. The Minnesota State Legislature first authorized a Normal School in 1895 and the Normal School became Duluth State Teacher's College in 1921. The institution became a University of Minnesota campus in 1947. UMD was initially accredited by the commission 1968. The Board of Regents, a 12-member body elected during a joint convention of the Minnesota House and Senate, is the governing body of the University of Minnesota system. One member is elected from each of Minnesota's eight Congressional districts; four seats are at-large. Since 1976, one of the at-large seats has been held by a Regent who is a University of Minnesota student at the time of election.

The University of Minnesota Duluth (UMD) is a comprehensive regional university and home to just over 11,000 students. Undergraduate students can choose from 15 bachelor degrees in 84 majors and 72 minors as well as four certificates. UMD also offers graduate programs in 26 fields, 14 minors, and five certificates. In addition, the University of Minnesota Medical School, Duluth campus and the University of Minnesota College of Pharmacy, Duluth both have programs on the UMD campus although these were not part of UMD's comprehensive visit.

UMD's campus consists of more than 50 buildings on 244 acres overlooking Lake Superior, all built since 1948. UMD is also home for the Tweed Museum of Art, the Marshall W. Alworth Planetarium, and the Marshall Performing Arts Center. Other facilities include the Research and Field Studies Center, Glensheen Historic Estate, the Lower Campus, the Large Lakes Observatory, and the Natural Resources Research Institute. Tours of the

facilities on campus showed that even though some of the facilities are in need of renovation/repair the institution takes great care of each hallway, classroom and office.

The UMD mission states, "The University of Minnesota Duluth integrates liberal education, research, creative activity, and public engagement and prepares students to thrive as lifelong learners and globally engaged citizens." UMD has a vision and a set of well-defined values. The university has operated under a strategic plan without clearly defined metrics for the past 10 years but is now adding metrics so that they can celebrate successes and benchmark their accomplishments against peer institutions.

The institution has loyal faculty, staff and administrators who have served UMD for years and they are very proud of UMD. As with all state-supported institutions UMD is challenged financially but there is a reasonable plan that is supported by the Board of Regents. Faculty and staff governance structures allows for appropriate input into curriculum, policy and institutional change.

Interactions with Constituencies

Leadership – Board of Regents (12 members total)

Six board members were present in the room.

Secretary to the board was present.

Leadership – Chancellor’s Leadership Council

Chancellor

Executive Vice Chancellor for Academic Affairs (EVCAA)

Vice Chancellor for Student Life and Dean of Students

Vice Chancellor for Finance and Operations (VCFO)

Chief Development Officer

Director of Intercollegiate Athletics

Director of University Marketing and Public Relations

Director of Education for Inclusive Excellence

Assistant to the Chancellor for Inclusive Excellence

Dean, Labovitz School of Business and Economics (LSBE)

Director of Information Technology Systems and Services

Faculty Council Chair

Staff Council Chair

Executive Assistant to the Chancellor

Other Leadership

Interim Associate Vice Chancellor, Academic Affairs

Associate Vice Chancellor, Undergraduate Studies

Associate Vice Chancellor, Graduate Education and Research

Assistant Vice Chancellor, Strategic Enrollment and Institutional Research

Associate Vice Chancellor, Student Life

Interim Dean, Swenson College of Science and Engineering (SCSE)

Dean, College of Liberal Arts (CLA)

Dean, School of Fine Arts

Associate Dean, College of Education and Human Service Professions (CEHSP)

Associate Dean, Labovitz School of Business and Economics (LSBE)

Associate Dean, Swenson College of Science and Engineering (SCSE)

Associate Dean, College of Liberal Arts (CLA)

Director, Academic Writing and Learning Center

Director, Admissions

Director of Budget and Analysis

Director, Facilities Management

Director, Financial Aid

Director, Office of Disability Resources

Director, Office of Student Conduct and Conflict Resolution

Director of Career and Internship Services

Director of Advising and Academic Services, LSBE

Director of Advising and Academic Services, School of Fine Arts

Director of Advising and Academic Services, CEHSP

Director, College in the Schools Program

Director of Marketing and Operations

Director of Student Services, School of Fine Arts

Director of Geospatial Analysis Center, SCSE

Director, Kathryn A Martin Library

Director, Housing

Assistant Director, Housing and Residence Life

Director, Information Technology

Director, Student Conduct and Conflict Resolution

Director of Student Life Operations

Associate Director of Advising and Academic Services, CEHSP

Associate Director, Study Abroad/International Programs

Associate Director of Undergraduate Recruitment

Department Head (5)

Controller, VCFO

Academic Budget Officer (VCFO)

Administrative Budget Officer (VCFO)

Registrar

Assistant Registrar

Program Coordinator, Office of Diversity and Inclusion

Program Coordinator, International Student Services

Program Director, Marketing Analytics

Faculty Fellow for Space

Governance Committees

Assessment Subcommittee (3)

Teaching and Learning Committee

Liberal Education Subcommittee

Faculty Senate (3)

Staff Senate (2)

Staff

CEHSP staff (1)

LSBE staff (1)

Library staff (1)

School of Fine Arts staff (1)

Academic Advisor, Professional Student Services (2)

Academic Advisor, LSBE

Academic Advisor, CLA

Academic Advisor, CEHSP

Advising and Academic Services, SCSE

Administrative Director

Associate Administrative Director

Associate Development Officer

Analyst – Institutional Research (2)

Analyst – Budget and Analysis

Curriculum and Transfer Specialist

English as a Second Language (ESL) Specialist

Finance Professional – Student Financial Services

Project Specialist, School of Fine Arts

Marketing and Public Relations

Housing and Residence Life

Office of Diversity and Inclusion

Career Counselor, Career and Internship Services

Instructor, Academic Writing and Learning Center

Accreditation Director (CEHSP)

Associate Director – Study Abroad

Career Counselor – Career and Internship Services

One Stop Student Services

Library Director

Manager

Office of the Registrar – staff (3)

Recreational Sports Outdoor Program

Business/Systems Analyst

Network/Telecom Manager

IT Manager (3)

Network Administration (2)

ITSS Developer (3)

ITSS System Administration (2)

ITSS Learning Tech. Consultant

Telecom Tech (1)

IT Staff assigned to colleges (4)

Sustainability Director

Mentoring and Engagement Coordinator, Office of Diversity and Inclusion

Faculty

College of Education and Human Service Professions (12)

Labovitz School of Business and Economics (11)

School of Fine Arts (10)

College of Liberal Arts (11)

Swenson College of Science and Engineering (16)

Chair of Faculty Senate

Chair of Liberal Education Subcommittee

No unit listed (2)

Students (4)

Open Forum attendance

Criterion 1 and 2 (16)

Criterion 3 and 4 (47)

Criterion 5 and Institutional Planning (24)

Additional Documents

There are no additional documents reviewed.

1 - Mission

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

1.A - Core Component 1.A

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

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

Rating

Met

Evidence

The mission of the University of Minnesota Duluth (UMD) is incorporated into the university's Strategic Plan and is supported by Core Values, a Vision Statement, and specific Institutional Goals. It was clear from talking with the Chancellor's Executive Leadership Council while on campus that the Strategic Plan is guiding actions, operations, and the planning of the institution.

The 2011 Strategic Plan included the creation of its current mission statement: "*The University of Minnesota Duluth (UMD) integrates liberal education, research, creative activity, and public engagement and prepares students to thrive as lifelong learners and globally engaged citizens.*" The planning process was very inclusive with a 35-member steering committee which included faculty, staff, students, and administrators and provided ample opportunities for participation and feedback on the process from the entire campus community. Conversations with the Chancellor's Executive Leadership Council indicated that approximately 2,000 people were involved in the development of the Plan. Subsequently, the Strategic Plan was endorsed by the Campus Assembly, and the Chancellor approved it. The Plan was presented to the Board of Regents in February of 2012. The team reviewed documents which verified this process, including minutes of the Board of Regents which confirmed the approval.

UMD used its Quality Initiative to review, reflect upon, and learn from the strategic planning processes that led to the 2011 Strategic Plan. One of the weaknesses identified via the Quality Initiative was a lack of institutional metrics to help measure the success of the Strategic Plan. While this step has not yet been completed for the new strategic plan, UMD is committed to including metrics in the forthcoming, revised Strategic Plan.

As a comprehensive university within the University of Minnesota System, UMD offers primarily

undergraduate and master's degrees which are consistent with its mission. The enrollment profile is almost 85% from Minnesota and the demographics and student metrics are consistent with a regional university. There are numerous co-curricular activities that are documented. The team found strong support for co-curriculum programming through organized discussions with faculty members while on campus. Student support services are provided and are typical for a university of this type and size.

It was evident to the team through its many meetings while on campus that the planning and budgeting priorities align with the mission and that the strategic planning process is active. As an example, the university has adapted to declines in student numbers and state funding by prioritizing budget funds to academic programs and campus services. This adaptation plan was reviewed in the document "UMD Finance - Plan for the Resolution of Imbalance and Deficit February 2016" and verified in discussions with senior leadership.

There were multiple comments heard by the team about the relationship of the UMD campus to the UM System. There was a sense by some that UMD is considered to be a second tier institution by the Twin Cities campus. This obviously is a legacy item which has been talked about for years. Healthy conversations about degree programs, research, and planning for the future were taking place among deans, faculty, and administrators while the team was on campus. As the strength of research and scholarship becomes more emphasized over time and more doctoral programs are added, a modification of the mission may be appropriate.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.B - Core Component 1.B

The mission is articulated publicly.

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

Rating

Met

Evidence

The institution's mission statement and associated vision and values are articulated in a number of different media. Examination of university web pages, examples of the chancellor's communications, various university communications, and copies of posted displays on campus demonstrates that the mission is presented appropriately to the public. In addition, individual college's missions reflect the key components in the university's overall mission statement. These were observed in the documentation and verified by visiting the college web pages. For example, the university web page www.d.umn.edu/strategic-planning/strategic-plans lists the mission and associated items. In addition, team members observed posted components of the mission in numerous locations while on campus.

The mission documents were observed to be current and appropriate in explaining the emphasis and focus of the university. The institution's mission statement and corresponding vision, values, goals, initiatives, and measures are being updated as part of a 2017-2018 strategic planning process and were informed by experience from the Quality Initiative. The mission statement emphasizes the integration of "liberal education, research, creative activity, and public engagement and prepares students to thrive as lifelong learners and globally engaged citizens."

The institution's updated Strategic Plan identifies the nature and scope of its mission as a comprehensive, regional master's university with a student base that is primarily regional. UMD demonstrated this by including copies of the Strategic Plan and the Open Pathway Quality Initiative Report of August 2, 2017.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.C - Core Component 1.C

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

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

Rating

Met

Evidence

UMD is serious about enhancing diversity and inclusion across campus and presents evidence to show that it understands the relationship of its mission to diversity. The UMD Strategic Plan has numerous components that address its role in a multicultural society such as a statement in the mission concerning “globally engaged citizens” and goals for the university to serve a diverse population with an inclusive approach. For example, within the Strategic Plan, Goal 2 is to “Advance equity, diversity, inclusiveness, and social justice within the campus community.”

On the academic side, both undergraduate and graduate programs include specific learning goals related to diversity and cultural competence, with required coursework to meet these learning goals. UMD regularly monitors the campus climate among students and employees through surveys and focus groups conducted by the “Campus Change Team.” From the information gathered regarding campus climate, the campus has developed new training and educational opportunities to address issues identified. An example is the high participation among faculty/staff in the 2016-2017 Diversity and Inclusion Education and Training series of workshops. Training topics ranged from “Being an ally in the work of Equity and Diversity” to “Implicit Bias in the Search Process”, as described in the evidence file Faculty Fellow for Diversity and Inclusion Education and Training - 2016-17 Activity Summary.

Also supportive of its role in a multicultural society, UMD has multiple offices and committees designated to enhance and expand diversity efforts. Examples include the University Office for Equity and Diversity, Employees of Color and American Indian Mentoring Program, and the Pre-Doctoral Diversity Fellows Program. From observations while on campus, the team concluded that the university could benefit from a more integrated approach to addressing diversity through better cooperation and communication among the offices, committees, and programs. In order to meet diversity goals, it will be important to clearly define diversity metrics and to systematically assess progress.

There is appropriate attention to human diversity by UMD, but the university should improve its support of its faculty and staff of color by having a non-threatening mechanism for personnel to seek advice and register concerns. In meetings with faculty and staff, the team heard concerns about the ability of administration to recognize and address issues of women and people of color. The Chancellor suggested to the team chair that he is considering the establishment of an ombudsperson.

The establishment of the position of an ombudsperson would be an excellent next step for the university in supporting diversity.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.D - Core Component 1.D

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

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

Rating

Met

Evidence

In reviewing the documentation, there is evidence to support UMD's commitment to the public good. There are appropriate programming and outreach activities to the general population that are consistent with the system's role as a land-grant university. Some examples included in the institution's argument are, but are not limited to: centers for environmental education, sustainable community development, regional and tribal child welfare studies, economic development, and others; community engagement internships and practica in the academic programs of criminology/sociology and elementary and special education; not-for-credit educational programs for the public; and research activities which include a public education component through a natural resources institute, a large lakes observatory, the Minnesota Sea Grant, and the Bureau of Business and Economic Research.

The primary focus of UMD is education, and as a public institution there are no financial investors and no external interests that conflict with its educational purpose. This is documented in part in the publicly-distributed University Plan, Performance, and Accountability Report; in the UMD Institutional Conflict of Interest Policy; and in the requirement of employees to complete an annual Report of External Professional Activities when appropriate.

The work done through the QIP helped to inform the process in developing a UMD Strategic Plan which was updated in 2017. The process supported engagement of the university with its constituents which included individuals and entities in the local communities and the region. A report on March 24, 2017, to the Board of Regents documents involvement of UMD with the communities of Duluth and northern Minnesota. Included in the report are the topic areas of academics and community engagement, student community engagement, and administrative and community partnerships. UMD is engaged with external constituents as partners with local high schools, as partners with other units with the University of Minnesota system, as partners with economic development entities in the region, and in offering on-line courses and programs.

Conversations with faculty members on the campus demonstrated a strong and genuine commitment

to the institution's role as a community partner. One college has recently created a staff position to coordinate service learning activities for students and to interface with external constituencies.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.S - Criterion 1 - Summary

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

Evidence

The mission of UMD is well articulated and is widely understood within the university. Additionally, the mission is appropriately articulated to the public. As part of its mission, UMD understands the necessity of being engaged in a global and diverse society, and it is committed to the public good. Through observation of the evidence presented and through observations on campus, it is clear that UMD is using its Strategic Plan to improve and plan for the future although metrics will help set appropriate marks of success. The university should consider bringing together the various units and personnel with diversity goals to better serve faculty, staff and students with a comprehensive diversity plan to meet the university's strategic goals.

2 - Integrity: Ethical and Responsible Conduct

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

2.A - Core Component 2.A

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

Rating

Met

Evidence

UMD is a system university campus that operates within the University of Minnesota system which is governed by a 12-member Board of Regents. The UMD chancellor operates under the System President as the President's chief representative for the UMD campus. This reporting structure and authority is defined in the Constitution and Bylaws of the University of Minnesota Duluth Campus Governance which was included as evidence by the institution. Based on conversations with six of the Regents and the Secretary of the Board, it is evident the board members are very knowledgeable about UMD financial, academic, personnel and auxiliary functions. The Board secretary is responsible for managing the review of University of Minnesota system policies that are applied to UMD.

Policies are in place to govern the Board of Regents and ensure ethical behavior. These include Responsibilities of the Board and Individual Regents, Code of Ethics for the Members of the Board of Regents, and Board Operations and Agenda Guidelines. The Bylaws of the Board of Regents also address framework of Board structure and "standards for integrity, fiduciary responsibilities and accountability in academic, administrative, financial, and human resources functions across the System." Examination of the policies indicated that appropriate topics were included to promote integrity in its operations.

The Board of Regents establishes system-wide policies that apply to all campuses and ensure consistency across the System. The Board of Regents is responsible for the review of these policies on a six-year rotation, but UMD is responsible for implementation and adherence at the university level. Discussions during open forums with faculty and staff confirmed the understanding of the policies as well as the relationship between the system and university.

System-wide policies reviewed by the team related to sexual misconduct, a system-wide Institutional Review Board, and a Research Animal Resources unit to oversee animal care. The University Senate also sets system-wide policies. However, UMD determines many of its own academic policies to allow faculty to have input into academic policy formation/review since UMD representation on

University Senate is limited. Also presented in the documentation were a list of campus policies that are specific to the UMD campus. Examples of UMD specific policies include the Syllabus Policy regarding information that is required within UMD course syllabi (Effective: *January 3, 2011* Last Updated: *Approved by EPC April 28, 2010; amended and approved by Campus Assembly November 9, 2010, updated & approved by EVCAA April 28, 2017* Policy Owner: *Academic Affairs*) and the Transfer of Undergraduate Credit policies (Effective: *September 1, 2011* Last Updated: *Approved by EPC March 30, 2011; approved by Campus Assembly April 12, 2011; revision approved by Teaching & Learning committee 11-5-14; approved by EVCAA 12-15-14* Policy Owner: *Academic Affairs*).

Interim Monitoring (if applicable)

2.B - Core Component 2.B

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

Rating

Met

Evidence

UMD presents itself clearly and completely to its students and to the public with regard to its programs, requirements, and costs to students. The UMD “One Stop” webpage (<https://onestop.d.umn.edu/>) provides links to a wide variety of information, forms, services, calendars, that make finding most information needed by prospective and current students as well as other members of the public easily accessible. This website also provides a host of “how to guides” with step-by-step slide presentations on topics from Searching for Classes to how a parent can make a payment on their student account.

Discussion with two personnel in the Office of Admissions and the Assistant Vice Chancellor for Academic Affairs indicated that UMD does not have a set admission criteria with required high school GPA, ACT score or other standard requirements, but that admissions decisions are based on an overall assessment of academic preparation and performance. The Admission web pages ([http://www.d.umn.edu/admissions/undergraduateadmissions/ apply](http://www.d.umn.edu/admissions/undergraduateadmissions/apply)) provide guidelines for applicants to self-evaluate their academic profiles, including GPA and SAT range, and high school course requirements that are considered as part of the admission decision. The admission web also provides international applicants the minimum acceptable standards for TOEFL/IELTS scores for English Language Proficiency for admission.

The HLC accreditation verification is properly displayed (<http://d.umn.edu/accreditation>). Although a list of academic program accreditations is provided (<http://d.umn.edu/accreditation/program-accreditations>), information regarding dates of approval or other details are not publicly available.

Interim Monitoring (if applicable)

2.C - Core Component 2.C

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

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

Rating

Met

Evidence

Discussion with members of the Board of Regents confirmed that the board of the institution is sufficiently autonomous to make decisions in the best interests of the institution and to assure its integrity. The Board, elected by the Minnesota Legislature, is well versed in the mission and operations of UMD in relation to the University of Minnesota system. The Board meets eight times annually to make decisions affecting the UMD and is transparent with decisions as evidenced by publicly available Board agendas, minutes, and guidelines. A review of recent publicly available Board meeting minutes found them to be exceptionally detailed providing clear documentation of the discussion and decision making process.

Individuals who are interested in being considered for appointment to the Board of Regents must apply for appointment to the Minnesota Legislature and are voted into membership by the House and Senate. Regents serve a six-year renewable term. Discussion with current Regents did not find evidence of undue influence by the Minnesota Legislature on Board members. In addition, the team did not find evidence the Board of Regents was influenced by outside entities such as donors.

The Board of Regents policy on Reservation and Delegation of Authority was reviewed and in it is stated in Section I, subdivision 2 that the Board "reserves itself authority to ensure constitutional and institutional authority." In Article II, Section I, the Board delegates the day-to-day management of the university to the President of the University of Minnesota. This same policy in Section III gives the President the authority to delegate the running of the UM Duluth campus to the Chancellor of UMD. The Constitution and Bylaws of the University of Minnesota Duluth Campus, in Article II, gives the Chancellor of UMD authority to act as the administrator of the Duluth campus as the representative of the President on campus. Discussions with members of the Board as well as the UMD Chancellor confirmed these policies are in practice. In addition, discussion with faculty and staff members found that many policies in place at UMD are established at the system level, and that the policies are effective for UMD.

Discussions with the Board of Regents, the UMD chancellor, faculty and staff confirmed that the chancellor, as the board-appointed chief administrator of the campus, provides daily management without undue oversight by the Board of Regents or the University of Minnesota system President, to whom the Chancellor reports. Each of the five UMD colleges has its own governing body led by the college dean and the subcommittees to oversee academic matters within their colleges.

The UMD Constitution (approved 2014) and Bylaws (approved 2017) describes in detail the university committee structure which is overseen by the University Coordinating Council (UCC) and "provides oversight and communication among senates and primary standing committees as well as coordination of the various bodies of the governance structure." Senates and primary committees that fall under the UCC include the Faculty Senate, Staff Senate, Student Association Executive Board, Teaching & Learning, Strategic Planning & Budget, Student Experience, and Athletics. Each of these committees may have multiple sub-committees.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.D - Core Component 2.D

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

Rating

Met

Evidence

The University of Minnesota Board of Regents policy regarding Academic Freedom and Responsibility was most recently amended in 2011 and provides clear guidance for all system schools stating in section II Academic Freedom: *“Academic freedom is the freedom, without institutional discipline or restraint, to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research and creative expression, and to speak or write on matters of public concern as well as on matters related to professional duties and the functioning of the University.”* Academic freedom by faculty who are part of the union is also protected in the union contract (University Education Association Agreement), Article 113.100. University system policies and procedures related to academic freedom are monitored by the University of Minnesota system Academic Freedom and Tenure Committee (Faculty Senate Bylaws, Article IV., Section 5). Discussion with faculty regarding Academic Freedom confirmed that the rights as described in the above policy are supported and afforded to all faculty, whether tenured or not.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.E - Core Component 2.E

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

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

Rating

Met

Evidence

The university demonstrated significant efforts to enforce policies on academic honesty and integrity. The Board of Regents published an Academic Misconduct Policy that “applies to all research, scholarly, and artistic activities of all University employees.”

Faculty or staff violations of research misconduct (academic, human subject research and/or animal research) are reported to the Research Compliance Office (at the system level) which is responsible for investigating such allegations and works closely with the Office of the General Council in such situations.

The UMD Student Academic Integrity Policy supplements the Board of Regents Student Conduct Code Policy. This policy provides specific details as to ethical use of information resources, sanctions for students violating the policy for one-time and multiple offenses. UMD provides multiple resources for students to be made aware of appropriate use of information, including the WRIT 1120 course that is taken by most freshmen, tutorial on citing information sources by the Library, as well as tutoring and writing review services provided by the Writer's Workshop.

Policies and procedures governing the oversight of human subject and animal research are established and maintained by the University of Minnesota system. This includes the Institutional Review Board for human subject research, for which the system holds Federalwide Assurance from the Office of Human Research Protection. The system IRB is also accredited by the Association for Human Subject Research Protection Programs.

Animal research is governed by the system-wide Institutional Animal Care and Use Committee (IACUC). Standards for animal care as well other resources for faculty and students doing animal research are set out in the Research Animals Resources (RAR) document.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.S - Criterion 2 - Summary

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

Evidence

The institution acts with integrity. UMD and the system have the policies in place to ensure that it operates with integrity. UMD presents itself clearly and completely to its constituents. The team only found one inconsistency on an admissions website versus what we learned during the site visit. The Board of Regents are familiar with not only the University of Minnesota system but the UMD campus as well.

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

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

3.A - Core Component 3.A

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

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

Rating

Met

Evidence

Undergraduate degrees are appropriate to the institution and built on the Liberal Education program (LEP) that was designed in 2009 and implemented in Fall 2012. Graduate programs are limited in number and appropriate to the institution. Programs and courses are reviewed regularly to ensure they are current and may hold specialized accreditation if available in the discipline.

Processes for new program approval are systematic and clearly articulated to ensure the quality, currency, and student learning outcomes of all programs. All new programs must be approved through a process that begins with faculty, moves to approval by Departments, and Colleges, requiring documentation of program need, demand as reflected in society, student interest, and employment potential. The Executive Vice Chancellor for Academic Affairs makes the final determination on implementation of new programs.

To measure on-going program currency UMD engaged in a 2013-2014 program prioritization initiative. As documented in the Quality Initiative Report, efforts will continue to improve the program prioritization process through the use of metrics, academic program assessment, strategic planning, and institutional data. Interviews on campus indicated an increased reliance on data from enrollment and assessment processes to make informed decisions about program expansion or mergers.

Programs offered by the institution undergo a regular cycle of review every six to eight years. This process includes documentation via a self-study and a visit by external reviewers. Programs with specialized accreditation use their accreditation process for review. Evidence demonstrates the rigor of the process and the results of the Department of Mathematics and Statistics reviewer's

recommendations. The Liberal Education program undergoes regular review as well. In 2009 structures were changed to address particular learning outcomes. Those changes were implemented in Fall 2012, evidence of the assessment of those changes is documented.

Student learning outcomes have been in use since 2009 for undergraduate programs and were developed at the same time as the development of LEP. Five learning outcomes, known on campus as "categories," were developed for all graduate programs in 2014 and were implemented in Fall 2017.

The differentiation between undergraduate and graduate learning outcomes is appropriate. The Assessment Subcommittee provides guidance to the campus through the creation of appropriate forms and clarification of definitions, characteristics and expectations for student learning goals. While on campus, the review of the online data base (Campus Labs-Compliance Assist) demonstrated that the student learning outcomes for individual programs have been mapped to the university-wide outcomes and are assessed on a regular cycle.

Courses in selected programs are offered on multiple campuses or online format with assurances that the same learning outcomes and assessment procedures are employed. Regarding programs offered at multiple campuses, examples were provided for the Master of Business Administration, Master of Environmental Health, and Safety and Master of Engineering that demonstrate the use of the same student learning outcomes, in addition, assessment reports for two of the programs were provided to demonstrate that consistency is provided. Courses offered online may use the Quality Matters framework for evaluation. The psychology courses offered online were provided as an example. Courses offered in the high schools through the College in the Schools (CITS) program are overseen by UMD faculty members who are assigned as liaisons.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.B - Core Component 3.B

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

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

Rating

Met

Evidence

UMD articulates the purposes, content, and intended learning outcomes of its undergraduate general education requirements. The general education program was developed in 2009, implemented in 2012 and is called the Liberal Education Program (LEP). The report prepared by the Liberal Education Task Force indicates that this design promotes greater coherence for students and offers flexibility to integrate required LEP courses in the majors, particularly at the upper division. The three primary categories of Language and Reasoning Skills, Knowledge Domains, and Key Topics help organize the skills and attitudes that UMD expects for graduates. In 2011, UMD revised its mission so that liberal education became an integrated part. UMD articulates the purposes, content, and intended learning outcomes of its undergraduate general education requirements in the LEP catalog.

UMD provides opportunities for students to engage in research, experiential learning and creative activities and various other high impact practices. For example, undergraduate students may participate in an array of research opportunities including the Undergraduate Research Opportunities Program (UROP), University Honors capstone projects and McNair Scholars. UMD students also have the opportunity to showcase their research and creative works through a number of research symposia and arts exhibits. Twenty-eight percent of graduating seniors report having worked with a faculty member on a research project. These are the types of engaged learning opportunities that prepare students for the future. The team met with students who spoke passionately about research opportunities available to undergraduate students.

Global perspective and cultural diversity make up two of the ten categories in the framework of the LEP showing UMD recognizes the importance of preparing students for the world in which they live and work. A review of university lectures, programs, and diversity and international activities demonstrate a campus wide commitment to providing diversity education opportunities for faculty, staff, students and the community.

Review of faculty CVs indicated a significant number of current publications. The team also noted both undergraduate and graduate students were included in faculty CVs as being a part of current research. UMD continues its conversation with faculty about the importance of research. The expectations are always under review and consideration.

According to the UMD website, (<https://lsbe.d.umn.edu/about/academic-departments/finance-management-information-sciences/majors-minors/financial-markets>), the Bulldog Fund, LLC, challenges students to make strategic investment decisions directly applicable to a portfolio of more than \$1 million. Hands-on experience is gained through active research and analysis conducted in the on-campus, Wells Fargo Financial Markets Lab, a state-of-the-art lab designed to replicate a real world investment setting. On a tour of facilities, the team was able to see students in action in the Financial Markets Lab. This lab exhibits creative work and discovery of knowledge appropriate to UMD's mission.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.C - Core Component 3.C

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

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

Rating

Met

Evidence

The institution measures faculty to student ratios and staff to student ratios on an annual basis to ensure the adequacy of student support. These ratios are reported for the campus in 2017 as 17.9 for faculty to students and 10.2 for staff to students. Data on the 487 full time faculty in AY 16-17 posted on the website indicated that 78% of the faculty are white, with the remaining 22% are persons of color and international. Out of the 487 full time faculty, 46% are women. Interviews with faculty indicated a desire for more support during the promotion and tenure process for women and persons of color.

Faculty who teach more than 35% time and more than 67 days per calendar year are members of the union (University Education Association) which has established standards for workload by college and program. In addition, the collective bargaining agreement details the responsibilities for faculty participation in instruction, administration (department heads), advising, scholarship and service. Faculty undergo an annual reviews. The promotion and tenure process is delineated in the union contract that involves evaluation by a department personnel committee, dean, EVCAA and to the Chancellor. The Board of Regents has the final authority to grant tenure. According to faculty interviews, although the standards vary by college, the process is well understood.

Instructors are evaluated regularly by students as part of the course evaluation process. The process is decentralized and managed by each college. Faculty are required to have 50% of their courses evaluated each year by students. Students perceive the process as not being systematic and

recommended more frequent evaluation.

A policy on faculty qualifications was established in fall 2017 requiring faculty to meet HLC assumed practices or have a development plan in place to meet the standards by September 1, 2019. The policy is compliant with HLC standards and is administered by the Executive Vice Chancellor for Academic Affairs. A review of nearly 30 curriculum vitae (CV) of current UMD faculty indicate that they all have terminal degrees and based on their publication record they are current in their discipline. Many faculty CV also indicated research work with students, both undergraduate and graduate. The institution noted that faculty in the CITS program who teach college level courses in the high schools are currently exempt from the faculty qualifications policy but will be in compliance by 2022. UMD administrators described plans to further evaluate the needs of these faculty members during summer 2018 and develop a plan to address those needs.

Regular evaluation of instructors and accessibility of instructors for students is addressed by the collective bargaining agreement. Faculty covered by the agreement are required to be available to students via posted office hours. Interviews with students indicated that faculty are accessible to students and willing to help.

Academic advisers in the Labvotiz School of Business and Economics described their use of student waiting lists during the registration process to provide information to department chairs about over enrolled courses, leading to additional sections where possible. The integration of this wait listing process across campus may help address the concerns raised by students in the HLC student survey about course availability.

Faculty have opportunities for professional development through on-campus workshops, small grants and sabbaticals. Each college offers specialized development through mentoring, workshops and travel reimbursement. The University of Minnesota system also offers several grant programs to faculty. Meetings on campus indicated that the Swenson College of Science and Engineering offers a mentoring program for tenure track faculty which may be a model for other colleges.

Student support staff have appropriate qualifications for their work. Review of staff CV indicates that staff have the appropriate academic degrees and prior experience. Meetings with professional academic advisers and tutoring staff indicated a clear understanding of their roles and appropriate preparation to do the work. Interviews with academic advising staff indicated that although they have a hybrid advising model housed in each college, the advisers do meet regularly across colleges to share best practices. They reported being supported with appropriate professional development.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.D - Core Component 3.D

The institution provides support for student learning and effective teaching.

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

Rating

Met

Evidence

UMD meets the needs of students by providing a variety of support for student learning. In addition to the student resources targeted at specific student groups, such as Disability Resources, The Office of Diversity and Inclusion, The American Indian Learning Resource Center, and Veterans Services, support is available to all students via Health Services, Career and Internship Services, Live Like a Student, One Stop Student Services and many other important areas. The team met with students who spoke highly about the services offered in the Multicultural Center and the One Stop Shop. According to students, these areas had been critical to their success as college students and they could count on those services for multiple resources and needs.

UMD provides comprehensive personalized advising to incoming students during summer Orientation, Advisement and Registration sessions. After reviewing the students' records, incoming course credit and credentials, as well as math, writing and foreign language placement exams, students complete their course selections. During this process students who have been admitted conditionally may be directed toward a variety of developmental and academic support opportunities. While this support appears to be available to students, it does not appear to be a systematically required for all conditionally admitted students. There also seems to be an indication that conditionally admitted students may be something the university is leaning towards ending as these students have not been successful in completing degree programs.

Academic advising is a service provided to the students at UMD and is suited for its programs and the needs of the students. Each college maintains its own advising office staffed with professional academic advisors who coordinate the respective units' student advising activities and procedures. Faculty also advise students within their respective programs and consult with professional advising staff. It appears there is a sense of support and teamwork between the two.

Infrastructure and resources necessary are provided for students that support teaching and learning. After a tour of campus, there was an overall positive impression of classrooms, labs, meeting spaces, study lounges, performance halls, and large lecture spaces. It is obvious the university prides itself in the care of infrastructure resources. UMD has a robust centrally located academic support center located on the 2nd floor of the library. In the LEP, students are introduced to the effective use of information resources in the library through two mid-term library sessions led by reference librarians and accompanied by online tutorial exercises and research guides. Students may contact librarian support in multiple ways (online, phone, text, or in person) for assistance with discipline specific and course specific resources.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.E - Core Component 3.E

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

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

Rating

Met

Evidence

UMD offers a wide variety of co-curricular programs to serve students which have learning outcomes named in the Undergraduate Student Learning Outcome Framework. A revised assessment form was put into use in the spring of 2018 and 11 co-curricular programs shared their assessment plans. According to the Expected Assessment Plans for all UMD programs, provided in the addendum dated 4/7/18, 64% of the co-curricular programs identified for assessment have a plan in process, while 36% of these programs are working to revise their learning outcomes.

Examples of the co-curricular programs on campus include offerings through the Center for Multicultural Education and the Kirby Student Center. The Multicultural Education Center was cited by faculty and students as offering programming that enhances the student experience, such as workshops, study space, and club meeting space. The Kirby Student Center offers over 306 student organizations and a Leadership Institute that also contribute to student learning. Members of the Student Association (student governance organization) shared that students have multiple opportunities to engage with on and off campus activities that help develop a sense of belonging at UMD. Outreach activity by students was evident while walking through campus. The team observed a wide variety of student club activities including events focused on earth day, gay/lesbian students, and special speakers.

UMD considers public engagement and research/creative activity to be elements of the mission that enhance student's learning experience. As evidence of public engagement, enrollments for internships and practical experiences were provided. As evidence of research/creative activity, UMD provided examples of optional student projects conducted in each of the colleges. Both faculty and students commented during discussions on campus about the richness of the research occurring on campus. Undergraduate students were particularly pleased to be involved in research opportunities and to hear from faculty in classes about the research they are conducting.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.S - Criterion 3 - Summary

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

Evidence

UMD offers courses and programs that are relevant to the students in the service region. The Liberal Education Program (LEP) offers students the ability to develop knowledge, thinking, self-realization, relationships, social responsibility, and life skills. The LEP is well understood by faculty and students. There are an appropriate number of faculty to deliver the curriculum. The full time faculty are well-qualified for their roles and are appreciated for including students in their research projects. The institution provides support for student learning and effective teaching. Co-curricular programs are well-designed to serve the students needs.

4 - Teaching and Learning: Evaluation and Improvement

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

4.A - Core Component 4.A

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

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

Rating

Met

Evidence

The university has a regular, ongoing schedule it follows regarding program review. Academic and academic support programs are reviewed every six to eight years. Programs follow an extensive, two pronged review process that includes a self-study and an external review. The peer review process is documented and describes a detailed series of requirements for program review. The outcome of the process is reported up to the Executive Vice-Chancellor Academic Affairs (EVCAA) and is shared with the respective departments and units who then respond to the review with an action plan.

The team visit and sample program review documents (from the Department of Mathematics and Statistics, Doctorate of Education) demonstrate:

- Extensive use of analysis and self-reflection throughout the process to ensure program quality and rigor.
- High quality external feedback in the form of thoughtful commentary on the departmental self-studies.
- Comprehensive program review processes that have resulted in some useful program changes.

It is clear that the university takes serious measures during the program review process. For example, evidence provided showed the Ed.D program suspended admissions due to external review concerns. A discussion with the department head of Art and Design revealed that the NASAD accreditation process led program faculty to make decisions about academic programming and the decision was made to maintain accreditation for undergraduate programs and end their graduate program.

The listing of special discipline accreditations is publicly provided on the UMD Accreditation website. The accreditation agency letters are maintained by the university and note current status

The evaluation of transfer credit hours and the credit hours for prior learning and experiences are defined. The Registrar coordinates and documents the evaluation process. UMD abides by the Minnesota Transfer Curriculum policy wherein system-wide transfers are aligned. The general criteria that determine equivalency for other more specialized subjects are evaluated within programs by UMD faculty using syllabi and coursework. If a student disagrees with the credit transfer decision they can submit an Academic Petition to the Associate Vice Chancellor for Undergraduate Education who performs the final review in this process.

UMD has a policy in Academic Affairs for Credit for Prior Learning. The policy requires that evaluations for academic credit be conducted by the academic department(s) affected. This policy was approved by Teaching Learning Committee in 2015, revised in 2016, and approved by the EVCAA in 2016. The policy was developed in response to student demand; even though 8 students (3 students in 2012 and 5 students in 2013) previously made such requests, none have applied in the past year according to the Associate Vice Chancellor for Undergraduate Education.

The university has in place processes to oversee and assure the alignment and modification of curriculum. Curriculum oversight and authority resides squarely within Academic Affairs with primary oversight located at the program level within its respective college. Each of the 5 colleges document curriculum processes in their college bylaws.

As noted in the Faculty Senate Constitution and By-Laws, the Liberal Education Subcommittee, comprised of faculty representatives from all colleges, is charged with the curriculum review for the Liberal Education Program (LEP). The faculty affirmed their oversight of their own programs and the LEP curriculum.

UMD oversees the College in the Schools (CITS) curriculum in which high school students may earn college credit. To ensure university standards of academic rigor and consistency, approved CITS courses are delivered by high school teachers under the direction of a UMD faculty member (UMD faculty liaison) who approves the course content, textbooks, syllabus, assessments and grading standard. A review of sample syllabi (PHYS 1001, MTH 1296, WRIT 1120) demonstrates consistency between the university and CITS curriculum. UMD is currently reviewing its Faculty Qualifications review process and in 2017 HLC granted UMD a 5-year extension during which time UMD will work toward compliance

The following UMD programs have current accreditations - chemical, civil, electrical, industrial and mechanical engineering and computer science through Accreditation Board for Engineering and

Technology (ABET); accounting, bachelor of business administration and master of business administration through Association to Advance Collegiate Schools of Business (AACSB); master of arts in communication sciences and disorders from Council on Academic Accreditation in Audiology and Speech-Language Pathology; bachelor and master of social work through Council on Social Work Education; bachelor of arts in art, art history and bachelor of fine arts in art education, graphic design and studio art through National Association of Schools of Art and Design (NASAD); bachelors and masters degrees in music through National Association of Schools of Music; and all bachelor degree teaching licensure programs through Minnesota Board of Teaching. The most recent letter from each accrediting agency was provided as evidence and each unit displays the accreditation appropriately on the departmental website.

The UMD Career and Internship Services office leads the university efforts in measuring the success of its graduates. On site, the team reviewed a copy of the 2016-2017 annual Graduate Follow-Up report. According to the UMD Career and Internship Services staff the survey response rate was around 85%. Current marketing material indicates 97% of UMD graduates are employed or continuing their education within one year of graduation.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.B - Core Component 4.B

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

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

Rating

Met

Evidence

In fall 2008 UMD joined the HLC Assessment Academy to improve its assessment processes. As a result, the university developed clear learning goals at both undergraduate (2009) and graduate (2017) levels. While two distinct groups were formed, one to oversee academic assessment, the Council for the Advancement of Student Learning (CASL), and another to oversee co-curricular assessment, Student Development Assessment Team (SDAT), at present the university has one oversight committee. In 2013-2014, UMD implemented a revised governance structure which led to the combined Assessment Subcommittee. A faculty member is currently being given release time to serve as Faculty on Special Assignment for Campus Assessment. This work provided UMD with a foundation upon which they were able to build a culture of assessment.

UMD programs, both academic and co-curricular, are expected to align their student learning outcomes with the university goal areas as evidenced in the Campus Assessment Review (April 2017, p.10-12). All student learning outcomes for a given program are assessed during a three-year time frame, and most programs have completed at least one cycle. A report, UMD Undergraduate Assessment Plans: Past, Present, and Future (April 16, 2018), indicates that 86% of programs had submitted an assessment report to the Campus Labs-Compliance Assist during the 2017-2018 assessment cycle. During the visit, the team reviewed the Campus Labs-Compliance Assist software and a spot check of a variety of undergraduate and graduate reports overtime, provided further evidence that UMD is engaged in systematic and on-going direct assessment of student learning.

UMD's assessment processes have significantly improved since 2009 and the evidence suggests that assessment data is being used to improve student learning. Examples of academic programs using assessment data to improve student learning and revise assessment practices can be found in the Campus Assessment Review, April 2017, p.26-27. Included here are examples of program revisions, curricular changes, improvements to pedagogy and assessment methods changes. While the evidence provided did not drill down to the specific program level, additional evidence was noted during the team visit. On-site meetings with faculty and staff, as well as spot check of the Campus Labs-

Compliance Assist provided additional specific examples from academic programs (i.e. MBA assessment pertaining to teamwork) and co-curricular programs and services (i.e. student worker professionalism and students' understanding of disability resources) The team also noted that UMD's current assessment system does not allow for easy access to the data and may be preventing some forms of meaningful reporting to take place.

Each program designates a Program Assessment Liaison (PAL) who is responsible for tracking and reporting program-level learning outcomes. PALS from across campus, representing both curricular and co-curricular programs, participate in an annual peer review process where they review the program reports and come to consensus on the program's assessment report's quality using an approved rubric. As indicated in the an email pertaining to closing the assessment loop, it is clear that targeted training opportunities continue and are being offered to assist programs. Meetings with faculty, staff, administrators, the Assessment Sub-committee, and PALS indicated that UMD has built a strong community of practice around the assessment of student learning at the undergraduate level. While graduate level assessment is not as fully developed as the undergraduate level, UMD has the necessary processes and practices in place to move this forward.

We are confident that UMD meets the minimum standards with regard to its commitment to on-going assessment, but would encourage them to continue bringing more programs into their process and carefully monitor institutional progress.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.C - Core Component 4.C

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

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

Rating

Met

Evidence

At the UM system level graduation rates (four year and six year) are reported along with goals for the future. From 2009-2012 UMD's four year graduation rate ranged from 37.5-39% while the six year graduation rate ranged from 64.7-66.7%. UMD's goals for the future are 45% (four year graduation rate) and 68% (six year graduation rate). The graduation rates and goals are reported in the 2016 University Plan, Performance and Accountability Report. UMD established the 4 Pros - a Framework for Student Success and Retention that establishes guiding principles for the campus. The institution's retention rate has recently risen from 76% to 78%. Their goal is 80% retention. The Action Plan for Student Retention with actions initiated in 2015/2016 is a detailed action plan that involves the entire campus.

Institutional Research collects and analyzes information on student retention, persistence and completion of its programs and makes that information available to campus on their website. Institutional data is available by college and by other significant markers such as first generation student status. The reports include enrollment, retention, persistence and graduation rates by colleges, units, and special programs, DFW rates, and student satisfaction. The IR office collects and reports data on students at-risk within each college for the new high school population as well as retention and graduate data for four special groups of students (students of color, international students, new high school graduates and new transfer students). Meetings with IR staff indicate that the data is readily available to all constituencies on campus. Associate deans regularly receive this information regarding retention and graduation rates for their units. Faculty and departmental leaders from different colleges indicated during the open forum that they review this data and develop departmental action plans.

Using the collected data, IR does analytical studies on issues of diversity, student satisfaction, and DFW rates. IR also identifies at-risk students in Attrition Risk Analysis reports and works with college leadership to generate the action plan. Efforts to improve retention and completion rates are decentralized at UMD. IR works with professional academic advisors to assist students at-risk. A financial literacy advisor was hired to educate students how to budget. Career Services requested a new webpage showing all UMD majors and minors in a consistent format to better assist students in finding internships. Academic Affairs funded 30 initiatives of academic and academic-supportive activities with \$97,046 in 2016-17 to improve student retention. The impacts of these efforts may be reflected in NSSE 2018 survey results.

UMD's Strategic Enrollment Management (SEM) subcommittee has an action plan that involves various units on campus and works with individual units to develop action plans for each group of students. The action plans have goals and indicate the office responsible for the specific action item. For example, in an effort to increase enrollment among students of color, the SEM action plan has led UMD to 1) hire a consultant to improve communication with prospective students, 2) identify a more specific geographically targeted approach to regional recruitment of minority students, and 3) increase communication with prospective students concerning Raise Me micro-scholarship opportunities.

The University of Minnesota Office of Institutional Research manages the system-wide data collection and provides the breakdown by campus. Data collection at UMD is coordinated by the IR office and follows IPEDS definitions. The IR office is also responsible for report generation and distribution, visual demonstration and analytics. The chief officer of IR and a faculty member co-chair the Strategic Enrollment Management subcommittee including representatives from learning and student supportive units. The subcommittee provides data-informed recommendation to the leadership and leads the campus efforts to improve retention and graduation. The team was told that the chief IR office also serves on the enrollment management committee at the system-level to provide insights from the UMD campus. UMD continues to develop standard definitions such that all data reported on campus is consistent.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.S - Criterion 4 - Summary

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

Evidence

UMD is committed to the quality of the education it provides and has in place the necessary processes to ensure appropriate levels of student learning at all levels and across all modes of delivery. The university provides transitional services to transfer students that are consistent with state-wide agreements. UMD is in the process of developing a robust assessment system. Much progress has been made in the areas of data collection, use of data and feedback to programs, all of these efforts will need to continue and be carefully maintained to ensure the sustainability of this work.

5 - Resources, Planning, and Institutional Effectiveness

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

5.A - Core Component 5.A

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

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

Rating

Met

Evidence

UMD has the fiscal infrastructure to support its facilities through its own internal resources and more significantly through Higher Education Asset Preservation and Renovation (HEAPR) funded by the state. The 2016 UM system request was for \$100 million to preserve and renovate facilities in the system. The UMD percentage based on square footage is 8.8% and the request by UMD was \$8.8 million for three projects. The state did not pass a bonding bill so the three maintenance projects are delayed. Ultimately, there is a process to make requests.

UMD has a budget of \$3.2 million for Repair and Renovation (R&R) Projects every year (the actual amount may vary depending on the State legislature or Board of Regents actions). The team was impressed by the well-maintained buildings, welcoming dining area, up-to-date instructional facilities, and engaging environment in the library. Infrastructure sufficiency is not a problem. UMD has the human resources to support its operations as evidenced by the student-to-faculty ratios of 17.9 to 1 and student-to-staff ratios of 10.2 to 1.

The Next Generation Network Project is a long-term plan of the Information Technology System and Services (ITSS), which aims to improve cybersecurity, provide stable WIFI access, and better serve educational needs. The Office of Information Technology of the UM system initiated the project and

provided the campuses including UMD with support and training. At UMD, more than 30 ITSS technicians are designated to units across the campus to provide targeted tech-support. UMD is in the middle of migrating from Moodle to CANVAS. ITSS is providing workshops and training sessions to faculty and staff to assist smooth migration.

UMD has struggled with finances over the past several years due to decreased state funding and declining enrollment. The composite financial index has varied from 4.50 in 2011 to a low of 1.20 in 2012 with steady progress back to 4.04 in 2016. The value of 4.04 is within the safe range of 1.1 to 10.0 and demonstrates that UMD has sufficient financial resources to support its operations.

The continuing decline in state appropriations and overall enrollment have resulted in a 7.6 million dollar deficit in FY 2016-17. UMD has developed a Deficit Reduction Model to eliminate the deficit by FY 2022-23. The plan is supported by the Board of Regents. The recently increased enrollment will bring a larger amount of tuition revenue as well.

Colleges submit budget requests to the EVCAA to serve educational needs on an annual base. Non-academic unit leaders do so to their supervisory Vice Chancellors. The FY18 allocations were provided as evidence. The Program Prioritization process in 2013-14 asked the whole campus to rethink the unit mission and effectiveness. During the past few years, several academic units that did not serve an adequate number of students were merged into other departments. Programs have also worked to optimize their course offerings as course access funds were reduced.

Hiring units work with human resources to complete a position description that specifies the job duties for all hires. Screening and hiring processes are system-coordinated. The hired employees participate in the orientation and are notified of the campus guidelines by their supervisors. Supervisory training is also available for the employees through System's Leadership and Talent Development Programs. The staff performance appraisal process is administered at the campus level.

The UMD receives its annual fiscal allocation from the UM system through the approval of the Board of Regents and appropriations from the State of Minnesota. The UMD budgeting process begins in August in preparation for the budget requests for the next fiscal year. As an academic unit within the system, UMD receives its budget instructions in January. Non-academic units submit the budget requests in fall and academic units do so in winter. Vice-chancellors convene and discuss requests and make recommendations to the Chancellor before he brings the requests to the system meeting in spring. The President of UM determines the budget in June.

UMD participates in the UM system budgeting process which uses a Responsibility Center Management (RCM) model. UMD is treated as a single RCM unit. On campus, budgeting is based loosely on unit performance and can therefore be referred as having some characteristics of an RCM model. The UM system finance office, as well as the UMD finance office, monitors the unit account balance regularly. The leader of the unit with an account running deficits over a threshold or over two years are required to justify the expenditures and create a plan to resolve the deficits. In a meeting with representatives from the UMD budget office, the team saw first-hand the excellent processes in place to monitor individual budgets throughout the campus.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.B - Core Component 5.B

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

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

Rating

Met

Evidence

UMD has appropriate governance and administrative structures for effective leadership to fulfill its mission. The Board of Regents for the University of Minnesota system provides oversight of the policies and practices that govern UMD's financial and academic policies and practices. This authority is stated in the Board of Regents policy on Reservation and Delegation of Authority.

The Board meets eight times a year and functions with an appropriate mix of committees to ensure effective leadership and oversight of UMD to fulfill its mission. The Board remains knowledgeable about UMD by having a Board member from the district within which the UMD campus is located, by having an orientation for new members to inform them of UMD and the other institutions in the system, and by having regular meetings in which information about UMD is presented. The team met with six members of the Board of Regents while on campus and concluded that the Board was very knowledgeable about UMD.

Shared governance at UMD functions at the System level, the UMD campus level, and at the UMD college level. There is the representation of UMD on the system's Faculty Senate, the Professional and Administrative Senate, the Civil Service Senate, and Student Senate. There is also a UMD faculty senate and various committees with faculty, staff, and student representation. The colleges have their own governance structure governed by bylaws consistent with System policies. A meeting with faculty members on campus assured the team that the faculty had confidence in the shared governance process.

The shared governance used in setting academic requirements, policy, and processes allows academic items to be initiated at the department level and then move to the college or to start at the college level as appropriate. Administrators in academic affairs are involved as well as the Faculty Senate and other university-level committees and subcommittee. UMD also has regular town hall meetings. The attendants are about 20-30 but can be more than 100 if it is budget-related. Another example is that

the Teaching and Learning Committee made recommendations in 2015 to EVCAA to create the Credit for Prior Learning policy that serves experienced students. That policy was approved and is now in place.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

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

Rating

Met

Evidence

UMD has processes in place to engage in systemic and integrated planning within its own campus and within the University of Minnesota system. Many of these activities relate to the academic program review and the Program Prioritization process, the Strategic Planning Process, and the UMD Master Plan.

As stated in Section 5-A, academic resources are annually allocated through Academic Affairs in a process that takes into account productivity and needs related to student demand. There is also a six-year capital budget plan for allocating monies for campus infrastructure. The team toured the buildings on the campus and concluded that the institution has been highly effective in maintaining its infrastructure.

There is evidence to show that the university takes steps to link resources to student learning. Two campus-level projects are presented as evidence: the 2012-2013 UMD International Initiative and the FY2014 Program Prioritization. Academic program review is a periodic function that assesses each academic program as to its effectiveness in meeting student learning outcomes, in managing resources, and strategically planning for the future. The campus-level Assessment Subcommittee will be using assessment data to better allocate resources in line with student learning, starting in FY2018.

Internal and external engagement was demonstrated by evidence in the Strategic Planning process, in the update of the Campus Master Plan, in a 2016 parking and transportation plan, in the Program Prioritization process, and in an ongoing Strategic Enrollment Management (SEM) process. While on campus, the team learned that over 2,000 individuals were involved in the strategic planning process. In addition, the administration mentioned to the team the effectiveness of the periodic town hall meetings which were held on a variety of topics.

UMD evaluates its capacity and plans accordingly through use of academic program data and its

Strategic Enrollment Management process. The Strategic Planning and Budget (SPB) Committee of UMD collects and coordinates information and data from various units on campus and uses it to make recommendations for resource allocations. An example of the specific actions of the SPB Committee was examined in the minutes of a December 15, 2016 meeting. In meeting with the Strategic Enrollment Management Council, the staff of Housing indicated that the occupancy in residence halls has reached the max capacity. UMD is planning to build new residence halls to accommodate demand from the increasing enrollment. In addition, college deans and associate deans have access to live data visualization of applications, admits, confirmations and enrollments.

To demonstrate that UMD appropriately plans by taking into account technology, demographic shifts, and globalization, results of a 2017 SWOT Analysis was included in the institution's documentation. SEM plans and plans for the International Programs and Services office further attest to the responsiveness of the university to emerging changes.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.D - Core Component 5.D

The institution works systematically to improve its performance.

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

Rating

Met

Evidence

As a university within the University of Minnesota system, UMD's performance is documented in many reports generated by the UM system, including performance and progress, accountability, internal audit, public engagement, research activities, etc. UMD also generates plenty of reports to meet the requirements of the federal government and the UM system.

UMD regularly assesses employee engagement using a survey tool on a bi-annual basis. Supervisors are encouraged to review the results for their area and are provided with discussion topics for further conversations with employees.

The university has operated under a strategic plan without clearly defined no metrics for the past 10 years but is now adding metrics. The 2016 draft of the Strategic Plan includes objectives and measures indicating that UMD not only had a plan but also intended to track performance, effectiveness, and capabilities according to the plan. UMD identified enrollment goals and six-year graduation rates compared with their benchmark peers in the 2016 University Plan. UMD, in its final revision of the current Strategic Plan, fully intends to include a variety of metrics so that progress can be monitored on a regular basis. It will be important for the campus to follow through and benchmark their progress against their to-be-established metrics.

The strategic planning and program prioritization processes are addressed in UMD's approved Quality Initiative. In its application document, UMD acknowledged that critical reflection and continuous improvement were lacking from the campus and would be the focus of the initiative. In the first round of program prioritization in 2014, all programs, including academic and non-academic, were required to use a rubric to evaluate the program effectiveness. During the past few years, several smaller academic units that did not serve an adequate number of students were merged into other departments. Programs have also worked to optimize their course offerings as course access funds were reduced. UMD has started the second round of the prioritization with the focuses on performance measuring, tracking, and incorporating data into decision-making and communication on a regular basis. The prioritization process increased awareness of cross-campus communication and in-depth understanding of the campus culture. The prioritization rubric of the first round was lengthy, ambiguous and not applicable to all programs. The team was told that UMD is working to revise the prioritization rubric to highlight six to seven planning focuses for better performance tracking.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.S - Criterion 5 - Summary

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

Evidence

It was judged by observation of the documentation and by on-the-ground observations by the team that UMD has a sufficient resource base to fulfill its mission. Budgeting is implemented through a modified responsibility centered management (RCM) process at the System and UMD campus level. There is excellent monitoring of the budget at the UMD campus level, and there is an indication that planning is systematic and integrated. It is clear that the institution plans for the future although the revised strategic plans requires metrics for monitoring progress.

Review Dashboard

Number	Title	Rating
1	Mission	
1.A	Core Component 1.A	Met
1.B	Core Component 1.B	Met
1.C	Core Component 1.C	Met
1.D	Core Component 1.D	Met
1.S	Criterion 1 - Summary	
2	Integrity: Ethical and Responsible Conduct	
2.A	Core Component 2.A	Met
2.B	Core Component 2.B	Met
2.C	Core Component 2.C	Met
2.D	Core Component 2.D	Met
2.E	Core Component 2.E	Met
2.S	Criterion 2 - Summary	
3	Teaching and Learning: Quality, Resources, and Support	
3.A	Core Component 3.A	Met
3.B	Core Component 3.B	Met
3.C	Core Component 3.C	Met
3.D	Core Component 3.D	Met
3.E	Core Component 3.E	Met
3.S	Criterion 3 - Summary	
4	Teaching and Learning: Evaluation and Improvement	
4.A	Core Component 4.A	Met
4.B	Core Component 4.B	Met
4.C	Core Component 4.C	Met
4.S	Criterion 4 - Summary	
5	Resources, Planning, and Institutional Effectiveness	
5.A	Core Component 5.A	Met
5.B	Core Component 5.B	Met
5.C	Core Component 5.C	Met
5.D	Core Component 5.D	Met
5.S	Criterion 5 - Summary	

Review Summary

Conclusion

UMD is an institution with appropriate policies and procedures to function appropriately. The institution has a financial plan that is monitored regularly and adjusted as necessary. One strategic goal for the institution is social justice and there were many examples of how UMD was trying to succeed at that goal. The team recommends a comprehensive, cohesive plan including all parties would benefit UMD as it tries to move forward to meet diversity goals. There has been much work and progress on the strategic plan. There was certainly talk on campus about adding metrics to monitor the plan and the team is confident that metrics will be named and monitored on a regular basis starting in the summer of 2018. Finally, the team noted great work with regard to the assessment of student learning and recommends continued work to include all programs on campus.

Overall Recommendations

Criteria For Accreditation

Met

Sanctions Recommendation

No Sanction

Pathways Recommendation

Eligible to choose

No Interim Monitoring Recommended.