

Assurance Argument

Northern Arizona University - AZ

9/14/2017

Introduction

Northern Arizona University (NAU), established in 1899, is one of three state universities in Arizona. Academic programs are offered on the Flagstaff campus, uniquely located on the Colorado Plateau, as well as on statewide campuses and online. NAU is dedicated to serving all students with the same commitment to quality and service, no matter the location or delivery model. Efforts to support the vision of One NAU are underway as the university integrates and streamlines statewide and online services.

Since NAU's last accreditation in 2007, the university has undergone significant changes. Through the implementation of "smart growth" strategies, the institution has increased efficiency and effectiveness. Highlights include changes in NAU leadership, the university system, strategic planning and rebranding, enrollment growth and student success efforts, the new Honors College, centralized functions, faculty, and research.

Leadership

Dr. Rita Cheng became the 16th president of NAU in 2014 and has positioned the university to thrive in a fast-changing environment, demonstrating its excellence and enhancing the quality of academic programs. She is also guiding an expansion of community partnerships focused on strengthening economic and cultural vitality in the region.

University System

In AY15-16, NAU and the Arizona Board of Regents (ABOR) developed a strategic plan and funding model tied to student success to promote greater innovation, reduce costs, and increase operating efficiencies to address reduced state funding.

Strategic Planning and Re-branding

A new strategic plan, mission, and vision were developed from an extensive visioning process which engaged internal and external stakeholders in a conversation on the university's future direction. Following review and analysis of the spring 2017 focus group meeting input and feedback on the mission, vision, and values statements, a revised strategic plan is forthcoming in AY17-18. It is important to note that while the language of the mission has evolved over the years to reflect a changing culture, NAU's goals and values have remained relatively consistent.

Additionally, NAU began a re-branding campaign involving marketing and transitioning to a responsive web content management system. To ensure smooth integration of all university websites, a comprehensive roll-out plan started in summer 2017. As such,

some websites have been integrated in the new system while others are awaiting the transition.

Honors College

NAU evolved its historic Honors Program into an Honors College to address the growing interest from high-achieving students. The Honors Program enrollment grew by 24 percent last year, and that number is expected to more than double in the next five years. A new Honors living and learning facility will open in fall 2018.

Enrollment Growth and Student Success Efforts

Since 2007, student enrollment has increased by 42%. Approximately 35% of NAU students represent ethnic minority populations with Native American students representing 127 tribes. NAU's international student population has increased 182% with students from 78 countries.

Student success is a core value at NAU. As such, the university's leadership has sought innovative strategies to advance academic achievement and persistence. Academic Affairs, Enrollment Management and Student Affairs, Institutional Research and Analysis, and Information Technology Services work collaboratively on student success initiatives.

Centralized Functions

NAU has centralized some vital functions to better support students and faculty. Streamlined services in Information Technology Services, academic advising, classroom scheduling, and support for dispersed students and faculty has increased efficiency and effectiveness. Improved coordination also created administrative efficiencies that have been reinvested into academic priorities.

Faculty

To address enrollment growth and maintain quality teaching, NAU has invested in faculty hiring resulting in a 35% increase in full-time faculty since 2009. NAU's instructional faculty are critical to maintaining an institutional commitment to a high-quality educational experience for all students. Additions of tenured, tenure-track, and research faculty have brought significant funding to NAU.

Research

In FY16-17, NAU increased research expenditures to \$39.6 million—nearly \$13 million more than in 2007. NAU ranks among the top 220 universities in the U.S. for research activity. Strategic hires, new centers, and collaborations with external partners have enhanced NAU's research agenda. In FY16, total grant funding reached approximately \$55 million which includes \$47 million in research and public service.

Considering the highlights noted, the following assurance argument reflects policies, practices, and processes at NAU through June 30, 2017, demonstrating NAU's pride in its long history of excellence in higher education. NAU's actions show a sustained commitment to continuous improvement to student success, quality, and faculty and staff leadership which focuses on the institutional mission and outcomes, ensuring students have the education they need to change the world.

1 - Mission

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

1.A - Core Component 1.A

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

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

Argument

1.A.1. Guided by the Arizona Board of Regents (ABOR), Northern Arizona University's (NAU) mission, vision, and values provide the foundation for teaching, research, and outreach efforts and direct institutional operations. NAU's current mission and vision were [approved by ABOR in September, 2016, as part of the NAU Operational and Financial Review \(pages 16 and 21\)](#). ABOR demonstrates support for NAU's mission and strategic goals annually by approving the university's annual state budget request ([FY17 State Budget Request](#), ABOR agenda (page 3)).

The NAU Mission

Our academic programs, research, public service, and creative endeavors enrich lives and create opportunities in Arizona and beyond. We develop solutions to challenges and drive innovation in a supportive, inclusive, and diverse environment.

NAU's mission, along with its strategic goals and values, are re-affirmed every three years through a review and revision process involving external and internal constituents and coordinated by the [Strategic Planning and Budget Council](#)—a standing committee of faculty, students, staff, and administrators. (See [previous strategic plans](#).)

During AY12-13, the university community started an extensive strategic planning process. As a result of these efforts, the university's previous seven goals (2010 strategic planning review process) were consolidated into six strategic goals that [align](#) with ABOR's four strategic goals.

In fall 2015, NAU engaged in an inclusive process, called Visioning 2025, to develop a vision statement to inspire internal and external stakeholders, guide strategic goals, and highlight

distinctive aspects of the NAU experience. More than 1,300 internal and external constituents, including students, faculty, staff, alumni, community partners, and friends of NAU, provided input via in-person discussions, online surveys, etc. regarding where they thought NAU should be in 10 years. Visioning 2025 exemplifies NAU's mission to engage and employ NAU's community of talent and knowledge in an inclusive, supportive culture that serves the public good.

The NAU Vision

Rigorous programs and pioneering research with substantial community impact provide the foundation for transformational student opportunities that prepare graduates to excel in creating a sustainable future, nationally and globally.

- *NAU is distinguished for its quality of teaching, focusing on student-centered learning experiences in creative environments, and for its dynamic research. We challenge students to adapt and respond to evolving social pressures and global issues.*
- *NAU is celebrated for its personally transformational relationships that enhance educational opportunities. We empower students to succeed by ensuring accessibility and inclusiveness of diverse experiences and backgrounds.*
- *NAU is renowned for its national and global leadership and service as our graduates guide the world toward a vibrant future, creating cultural vitality, superior education, improved public health, and positive economic outcomes throughout our communities.*

NAU Values

- *Excellence in Education—Offer a rigorous, high-quality education to all students*
- *Student Success—Place learner needs at the center of our academic and service planning, policies, and programs*
- *Educational Access—Provide all qualified students with access to higher education*
- *Diversity—Achieve multicultural understanding as a priority of educational and civic life*
- *Integrity—Operate with fairness, honesty, and the highest ethical standards to sustain a community of trust*
- *Civility—Support of a civil, engaging, and respectful campus climate*

Continuing the process of involving constituents, in spring 2017 strategic planning experts facilitated feedback on the university's goals and institutional values from university stakeholders, including students, faculty, and staff, to help the new vision, mission, values, and goals be integrated throughout the university ([NAU's strategic plan](#)). Following review and analysis of the input and feedback, a revised strategic plan is forthcoming in AY17-18.

1.A.2. NAU's academic programs, student support services, and enrollment profile are consistent with the university mission to serve Arizona and beyond and to provide a supportive, inclusive, and diverse environment.

As a non-profit, public state institution, NAU's long-standing commitment to undergraduate student success is aligned with ABOR's strong commitment to access, affordability, and serving

the needs of Arizona and its citizens. While the university's reach goes well beyond the state's boundary, it prides itself in serving Arizona's expansive, rural geography and its diverse populations, including Native Americans.

Seventy-three percent of the [student population is enrolled](#) on the Flagstaff campus. Of the remaining 27%, approximately 69% are enrolled in online programs or the self-paced, competency-based Personalized Learning program, 25% are enrolled at [statewide community campuses](#) and 6% are enrolled at NAU – Yuma, a branch campus.

Overall Enrollment Profile Changes since Last HLC Review

NAU has experienced significant growth since the last HLC review. In fall 2016, total student enrollment was 30,368, compared to 21,352 in fall 2007 (a growth of 42%). Undergraduate student enrollment, as a percentage of the total student population, grew from 73% to 87%. Similar to national trends, graduate student enrollment decreased (33%, from 5,783 to 3,862). NAU is engaged in concentrated efforts to increase graduate enrollments, especially in the College of Education where significant enrollment decreases occurred.

As a public institution, NAU focuses on enriching the lives of all Arizonans and also provides a welcoming environment for non-resident students. Arizona residents continue to compose the largest residency group for the university, representing 68% of the total student population in fall 2016. Increased enrollment of students outside of Arizona has also been significant: non-resident student enrollment grew from 4,254 in fall 2007 to 9,622 in fall 2016 (126% increase). Within that, international student enrollment grew from 458 to 1,291 (a 182% increase).

Since the last review, ethnic minority student enrollment increased by 112%, growing from 5,067 to 10,753 students. The university's incoming student profile approximates Arizona's diversity profile [with 38%](#) identifying as ethnic minorities. Gender balance has shifted slightly, with males now constituting 40% of the student population, up from 37% in 2007. ([See overall enrollment data since NAU's last re-accreditation.](#)) For AY15-16, [37% of undergraduates received Pell Grants](#) and 86% of undergraduates received some financial aid. The university prides itself on educating the under-served and rural populations of Arizona. The U.S. Department of Education designated NAU-Yuma [an Hispanic-serving institution](#). Compared to the Flagstaff campus, statewide/online campuses serve a more diverse population for undergraduate and graduate students in terms of [age](#) and [ethnic background](#). ([See student profiles associated with the Flagstaff campus and statewide/online campuses.](#))

Academic Programs

To fulfill NAU's mission, a variety of degree programs are offered ([AY16-17 academic catalog](#)), including 91 baccalaureate programs, 50 master's degree programs, and 14 doctoral programs.

Consistent with NAU's mission to serve Arizona and beyond, the Higher Learning Commission (HLC) stipulates that NAU is approved for distance education courses and programs. NAU has offered some form of distance education since the 1960s when Education professor Florence Oldle took an apartment in Prescott Arizona, and had several female students moving with her

while she supervised their student-teaching semester. As documented on page 9 of the HLC Multi-Location Visit Peer Review Report, “NAU appears to be a national leader in the delivery of distance education, and they are an exemplary leader in serving the rural communities in the state of Arizona. Particularly noteworthy is their ability to collaborate and form intricate partnerships with a variety of entities in the state. These partnerships translate into the ability to serve many students who otherwise might not have the opportunity to achieve a college education.” In October 2014, HLC granted approval for NAU’s innovative, competency-based program, [Personalized Learning](#).

NAU is committed to supporting students in their educational pursuits using the distance-delivery modality best suited to their circumstances. NAU offers [undergraduate and graduate distance-delivered programs](#), in the general areas of health professions, education and counseling, business and administration, computing and technology, math and science, social sciences and criminal justice and the arts and humanities. NAU recently conducted a market analysis to guide the strategic growth of distance-delivered programs.

The management and execution of distance programs and courses is a collaborative effort between the academic units offering the courses and programs and central administration (formerly overseen by the Extended Campuses division). Staff and academic leaders work proactively with academic units in the planning and delivery of distance programming to ensure that the units provide an appropriate selection of courses, adequate course capacity, and have sufficient highly-qualified faculty. Recent organizational changes, guided by an external consultant, will enhance planning efforts and centralize the management of financial resources for distance-delivered offerings.

NAU strategically develops new academic programs to enrich lives and to develop solutions and drive innovation. For example, in fall 2017 new undergraduate degree programs in Informatics and Computing and Nutrition and Foods will be available. In fall 2016, NAU began offering three new PhD programs to produce STEM professionals with skills in high-demand areas: 1) The Informatics and Computing PhD program, focusing on big data analysis, data mining, software and hardware development, remote sensing, and biological imaging, will develop leaders who tackle real-world problems, such as health disparities. 2) The Astronomy and Planetary Science PhD leverages partnerships with Lowell Observatory, the U.S. Geological Survey, and the Naval Observatory to access state-of-the-art telescopes and facilities. 3) The Bioengineering PhD program will produce professionals who solve problems via biology-inspired engineering design, such as the development of artificial limbs that feel and perform naturally, enabling amputees greater mobility and improved quality of life.

The development of health care professionals is a significant need in Arizona. NAU has continued to meet this need by adding to its renowned Physical Therapy doctoral program and by offering new graduate programs in Physician Assistant Studies, Occupational Therapy, and Athletic Training at the Phoenix Biomedical campus. Physical Therapy and Athletic Training programs are also offered at the Flagstaff campus. The new competency-based RN to BSN offering in the Personalized Learning program also helps meet health care needs.

In addition, NAU serves non-traditional students to ensure continued economic growth, career progression, and increased opportunities with career- and practice-oriented programs. To meet local and regional needs, for example, in fall 2016 NAU-Yuma launched a Master of Global Business Administration program, focusing on trans-border business and entrepreneurship.

Student Support Services

Student support services are delivered through Academic Affairs, Student Affairs, the colleges (including the Graduate College), academic departments, Cline Library, the office of the Vice President for Research, and Information Technology Services. These services support the NAU mission and its goals to:

- Improve student learning and achievement
- Strengthen teaching, mentoring, and curricular design across departments and faculty ranks
- Build a strong academic scaffolding of student support and guidance for achievement and degree attainment among diverse learners
- Recruit, retain, and support degree progress of increasing diverse learners
- Offer affordable options for time- and place-bound learners that build a highly qualified Arizona workforce

(See Criteria 3.D.1. and 3.D.2. for student support services information.)

1.A.3. NAU systematically aligns planning and budget priorities with the mission and ABOR and NAU strategic plan priorities. NAU engages in thoughtful planning processes to fulfill its social contract with the Arizona public and to allocate state funds and tuition revenue effectively and with transparency. ABOR's strategic plan informs NAU's strategic plan, and annual university progress reports on the strategic plans are posted on [ABOR's website](#). The strategic plan reflects NAU's strong commitment to its core values: Excellence in Education, Student Success, Educational Access, Diversity, Integrity, and Civility.

At the university level, strategic planning is coordinated through the [Finance, Institutional Planning and Analysis division](#) and informed by the members of the [Strategic Planning and Budget Council](#) and [President's Cabinet](#). Divisions, units, and programs use the university strategic plan as a framework for their planning and budgeting efforts. Institutional priorities are rooted in the strategic goals and reviewed annually through a macro-budgeting process that culminates in a [Leadership Day](#) when the university leadership gathers to identify near-term priorities. Undergraduate and graduate student leaders are also included in this process. The [university organizational chart](#), available on the Office of the President website transparently communicates reporting lines and functional responsibilities.

Details of the processes that ensure alignment are provided in Criterion 5.C.1.

Sources

- 1.A.1.01 2016-09-Approved-Board-Meeting-Minutes
- 1.A.1.02 FY 2017 NAU Annual Budget
- 1.A.1.03 June 2016 ABOR Agenda
- 1.A.1.04 Strategic Planning and Budget Council
- 1.A.1.05 2015 Archives Strategic Planning NAU
- 1.A.1.06.1 Alignment of NAU consolidated strategic goals with ABOR goals
- 1.A.1.07 Strategic Plan Official Document
- 1.A.2.01 Fall 2016 by Campus All Enrolled Students Trend
- 1.A.2.02 AZ College Campuses _ NAU-Extended Campuses
- 1.A.2.03 Student Profile
- 1.A.2.04 ABOR Financial Aid Report Nov. 2016 FINAL Updated April 2017
- 1.A.2.05 HSI Yuma_00108223_2017_letter-1
- 1.A.2.06 Fall 2016 Distribution of NAU students and profiles for Flagstaff and Statewide_Online campuses (2)
- 1.A.2.07 Fall 2016 Distribution of NAU students and profiles for Flagstaff and Statewide_Online campuses (1)
- 1.A.2.08 Age Table
- 1.A.2.09 Ethnic Background Table
- 1.A.2.10 Degree Search _ 2016-2017 Academic Catalog
- 1.A.2.11 HLC Multi-Location Visit Peer Review Report
- 1.A.2.12 Personalized_Learning
- 1.A.2.13 Undergraduate and Graduate Distance-Delivered Programs
- 1.A.3.01 NAU Strategic Plan and Updates _ Arizona Board of Regents
- 1.A.3.02 FIPA Org Chart_2017.6
- 1.A.3.03 Strategic Planning and Budget Council
- 1.A.3.04 NAU_Presidents_Cabinet_Sept_13_2017
- 1.A.3.05 President Leadership Retreat Agenda February 2016
- 1.A.3.06 NAU_Admin_Org_Chart_Sept_13_2017

1.B - Core Component 1.B

The mission is articulated publicly.

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

Argument

1.B.1., 1.B.2., 1.B.3. NAU's mission statement, vision, and strategic goals provide the framework for resource allocation and priority setting and are communicated through a variety of channels, including a Mission, Vision, and Values [web page](#) and the Strategic Planning [website](#). President Cheng reinforces NAU's mission and vision with her leadership and communications. For example, the mission and vision are regularly shared during the president's [Campus Forums](#). Many other publicly shared documents and reports reference the university mission, goals, and values, including the [April 2016 Strategic Plan](#), [June 2016 ABOR presentation](#), and [September 2016 Operational and Financial report](#).

As presented in 1.A.1., NAU's mission documents outline the focus and scope of institutional endeavors, such as academic excellence, research and creative works, public service, and economic development and identify the intended constituents of programs and services.

Sources

- 1.B.1.2.3.01 Mission-Vision-Values - Office of the President
- 1.B.1.2.3.02 Welcome - Strategic Planning
- 1.B.1.2.3.03 2016 Fall Campus Forum_FIN
- 1.B.1.2.3.04 Strategic Plan Official Document_AlwaysCurrent
- 1.B.1.2.3.05 June 2016 ABOR Presentation
- 1.B.1.2.3.06 FY 2017 NAU OFR Business Plan

1.C - Core Component 1.C

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

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

Argument

1.C.1. and 1.C.2. Diversity is an integral part of NAU's mission, vision, values and strategic plan. Three of the university's six strategic goals exemplify the university's efforts to embrace diversity and a multicultural society—a commitment to Native Americans; global engagement; and diversity, civic engagement, and community building.

Commitment to Native Americans

NAU strives to be the nation's [leading public university](#) serving Native Americans. NAU promotes engagement with and appreciation and understanding of Native American cultures and tribal nations within the university and in the broader community. To recognize NAU's commitment to Native Americans, President Cheng devoted a leadership position to these efforts. The Vice President of Native American Initiatives is charged to increase recruitment and retention of Native American students, strengthen institutional coordination, and collaborate with tribal communities to build stronger Native nations. Native American students represent 127 tribes, and NAU is proud to be among the select few institutions to have a stand-alone cultural center for the Native American community.

Global Engagement

Global engagement advances the internationalization of the university and prepares students for global citizenship. The [Global Learning Initiative](#) engages faculty and academic departments in an intentional and strategic process of preparing students to become globally competent graduates. NAU continues to create partnerships with international higher education institutions through the Center for International Education (CIE). As of January 2017, CIE had 120 [active agreements](#) with higher education institutions around the world.

Diversity, Civic Engagement, and Community Building

NAU's [diversity, civic engagement, and community building](#) goal has far-reaching effects and promotes issues of diversity, civility, democracy, citizenship, and community engagement and collaboration by fostering a community of inclusion and preparing students to engage in and understand the complexities of human experiences.

NAU is committed to increasing diversity by recruiting students and faculty, staff, and administration personnel from diverse and underrepresented populations. In fall 2016, [15% of all faculty and 25% of staff](#) identified as ethnic minority. A diverse university community leads to increased cultural awareness and competency—skills that facilitate success in today’s multicultural professional world—and to a welcoming campus climate that contributes to student academic persistence all the way to graduation. Diverse faculty and staff interact with students to foster in- and out-of-classroom engagement in diversity, equity, and social justice conversations that help students explore complex societal issues in a supportive and safe environment.

As reported in the [2016 Diverse Issues in Higher Education](#), NAU ranks 11th in the nation for awarding bachelor’s degrees to [Native Americans](#) in all disciplines and 47th in the nation for graduating [Hispanic](#) students in all disciplines. NAU ranks 77th for [total minority](#) graduates in all disciplines and ranks 9th for Native American graduates in graduate and professional degree programs for all disciplines. The American Indian Science and Engineering Society ([2014-2015 College Guide](#)) rated NAU highly.

Commitment to Diversity through Policy and Professional Development and Engagement

Faculty and staff demonstrate a commitment to diversity and inclusion through a variety of professional development opportunities and long-standing, diversity-oriented commissions and committees. NAU’s organizational structure fosters inclusion and recognizes that diversity takes many forms. The [Center for University Access and Inclusion](#) is the hub for coordinating diversity and inclusion efforts across the institution through housing [Diversity Commissions](#) and the offices of [Equity and Access](#) and [Disability Resources](#).

In addition to these offices and commissions, NAU further demonstrates an institutional commitment to creating and supporting an inclusive university community through the development and implementation of a long-term [diversity strategic plan](#). To help inform the development of NAU’s first diversity strategic plan, faculty, staff, administrators, and students were invited to a series of events starting in fall 2016 to discuss and document diversity-centered issues and concerns as well as accomplishments and advancements made in these areas. The vetting process will continue in AY17-18 and inform efforts to develop college-level diversity strategic plans.

Since 2007, the Faculty Professional Development Program has regularly hosted a [diversity symposium](#) series to engage faculty and staff in an interdisciplinary forum that influences the teaching and scholarly work faculty pursue.

NAU re-affirmed its commitment to an inclusive university community through the 2016 revisions of the [Safe Working and Learning Environment Policy](#), which prohibits discrimination, harassment, and other inappropriate behaviors. In addition, NAU has institutionalized a [New Employee Orientation](#) that includes diversity training.

Student Programs and Services

As documented in the Enrollment Management and Student Affairs [divisional report](#), NAU offers a broad array of programs and services to support NAU's diverse population, including:

- First-Generation Programs
- Inclusion and Multicultural Student Services
- Native American Student Services
- LGBTQIA Resources and Support
- College Access and Mentoring Programs

NAU prepares students to thrive in a global society by incorporating educational experiences and learning outcomes related to the global nature of society, culture, and economy in academic degree programs. (See Criterion 3.B.4. and 3.D.1. for details of diversity in the curriculum and programs that serve NAU's diverse student population.)

Community and K-12 Outreach Initiatives

In addition to modeling an effective organization in a multicultural society, the university, through its public service and research, improves lives of historically marginalized and economically disadvantaged populations. Examples include the [Partnership for Native American Cancer Prevention](#) with the objective to alleviate the unequal burden of cancer among Native Americans of the Southwest and as well as to pursue other [research and public service aimed at real world problems](#).

Student Affairs' [Student Success](#) unit directs [College Bound Outreach](#), which manages numerous federal-grant-funded and university-sponsored programs designed to encourage and support the achievement of higher education among low-income, first-generation, disabled, and Native American students in northern Arizona.

NAU's College of Education houses several state and local initiatives that support low-income students in Arizona, including [Arizona GEAR-UP](#), a state and local collaboration. The [Middle Grade Initiative](#), a partnership between NAU GEAR UP and nine Arizona school districts in low-income, rural communities, aims to increase the percentage of eighth-grade students who attend college in the future.

The [Center for Science Teaching and Learning](#) is a teaching, research, evaluation, and materials resource and service provider for NAU science faculty and students, K-20 science teachers statewide, and informal educators statewide.

In January 2017, Arizona's governor announced a state initiative, Arizona Teachers' Academy, which includes the three state universities and community colleges, to attract top graduating students to commit to teach in Arizona public schools. NAU is in the process of expanding [Grow Your Own](#) partnerships with districts serving P-12 students from diverse backgrounds, as well as a teacher internship program for uncertified teachers already employed in schools.

Sources

- 1.C.1.2.01 Welcome - Office of Native American Initiatives
- 1.C.1.2.02 2014-2015 AISES College Guide
- 1.C.1.2.03 Global Learning Initiative
- 1.C.1.2.04 CIE Transfer Articulation Agreements
- 1.C.1.2.05 NAU FIVE YEAR SPSeptember2015
- 1.C.1.2.06 Fall 2016 Faculty and Staff by Ethnicity
- 1.C.1.2.07 2016 Diverse Issues in Higher Educaiton_About Us
- 1.C.1.2.08 Diverse Issues in Higher Ed_NAU_2016_Native Americans
- 1.C.1.2.09 Diverse Issues in Higher Ed_NAU_2016_Hispanic
- 1.C.1.2.10 Diverse Issues in Higher Ed_NAU_2016_Total Minority
- 1.C.1.2.11 The Center for University Access and Inclusion
- 1.C.1.2.12 Diversity Commissions
- 1.C.1.2.13 Equity and Access
- 1.C.1.2.14 Disability Resources
- 1.C.1.2.15 Diversity Strategic Plan
- 1.C.1.2.16 Diversity Symposium_Faculty Professional Development
- 1.C.1.2.17 Safe working and learning
- 1.C.1.2.18 New Employee Orientation
- 1.C.1.2.19 Divisional Report_2015 emsa-annual-report
- 1.C.1.2.20 The Partnership for Native American Cancer Prevention
- 1.C.1.2.21 Research and Public Service Aimed at Real World Problems
- 1.C.1.2.22 Student Affairs_Student Success
- 1.C.1.2.23 College-Bound Outreach - Student Affairs
- 1.C.1.2.24 Arizona GEAR UP
- 1.C.1.2.25 Middle Grade Initiative - Arizona GEAR UP
- 1.C.1.2.26 Center for Science Teaching and Learning
- 1.C.1.2.27 DRAFT_Arizona Teachers Academy_02272017

1.D - Core Component 1.D

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

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

Argument

1.D.1. NAU's commitment to public good is realized by promoting the discovery, application, and dissemination of new knowledge; extending the benefits of its activities to Arizona's citizens outside the university; and maximizing the benefits derived from the state's investment in education.

As a public institution of higher education, NAU prepares students to contribute meaningfully to society through rigorous academic programs and serves the public through the advance knowledge acquisition and dissemination through the university's research mission. The [total expenditure budget by program for FY17](#) reflects this commitment.

Public service, access to instruction, and research are critical components of the ABOR strategic plan, and NAU uses [Technology and Research Initiative Funding](#) (TRIF) to advance initiatives that facilitate improvements in Arizona communities.

[NAU Innovations](#), a unit within the Office of the Vice President for Research, manages technology transfer activities, including support for technical development, legal protection, and commercialization of university-owned intellectual property. Transferring technology to the private sector for development into practical applications and products allows society to benefit from university innovation, and revenue is generated for continued university research.

In addition to focusing on educational and research excellence and student success, NAU also serves the greater public, especially in Arizona. In FY16, NAU was [awarded](#) \$20 million in external funds to conduct public service activities. Below are examples of community involvement and the work of NAU institutes:

- The [Native American Cultural Center](#), designed in consultation with the region's tribes, serves as a gathering place for tribal representatives and elders, advocacy groups, and cultural events. The center houses Native American Student Services and is also a home to many clubs and organizations focused on advancing professional interests of the Native American student population and protecting American Indian cultural heritage.

- The [Family Violence Institute](#) works with communities in Arizona and across the United States to improve coordinated community responses to family violence and prevent homicides and suicides.
- NAU's [Institute for Human Development](#) (IHD) has worked for several decades to provide opportunities for individuals with disabilities. Beyond providing educational opportunities for individuals, IHD recently received a grant to help Native American veterans with disabilities find employment.
- NAU's [Health Research Initiatives](#) supports research efforts targeted at biomedical, translational, and community health research in northern Arizona and across the state. For example, THRIVE, a partnership with the regional hospital, aims to reduce repeat hospital visits following release from the facility after a medical emergency.
- The [Center for Health Equity Research](#) is focused on finding solutions to end health disparities regionally, nationally, and globally.
- NAU supports media dedicated to serving the public as their primary mission: KNAU, a local NPR station, and student media operations K-Jack radio and NAZ Today, a student-produced newscast.
- The NARBHA Institute [provided funds for an endowed chair](#) to lead interdisciplinary research and practice in community health, resilience, and justice.

Cline Library on the Flagstaff campus is open to the public and Arizona citizens can borrow library materials. The library is a selective federal depository library; any member of the public can visit it for free access to government materials distributed by the Government Printing Office both in print and online.

1.D.2. ABOR monitors NAU's use of state and other financial resources and ensures accountability for the state of Arizona and its citizens. (See Criterion 5.A.1.-.3. for evidence that the budget and expenditures align with NAU's mission and responsibilities.) As the state's investment per FTE continues to drop, NAU balances ways to provide an excellent educational experience with the necessity to seek revenue sources through philanthropy, grants, and economic development. During the past decade, the university's enrollment has continued to increase, creating challenges of limited space for offices, classrooms, and on-campus housing and research labs that require resource investments. However, the institution's commitment to the core of its mission—enriching lives and creating opportunities through education—is steadfast. The university budget structure reflects that commitment, with 73% of budgeted state expenditures devoted to instruction, academic support, and student services directly. NAU's [Division of Development and Alumni Engagement](#) has increased efforts to enhance NAU's capacity to fund student scholarships and support university operations. For example, as reported in the [2016 report to donors](#), NAU has increased awarded scholarship dollars by 84% with \$15.2 million in scholarships awarded.

1.D.3. NAU involves citizens of Arizona and the world in collaborative interactions through community engagement, civic engagement, and economic development. The American Association of State Colleges and Universities awarded NAU the 2015 [Excellence in Innovation Award](#) for leadership and innovative economic partnerships.

Community Engagement

[Community engagement](#) is a hallmark of NAU's culture across academic and administrative departments. During the Visioning 2025 process in fall 2015, community engagement was repeatedly identified as one of the unifying themes among diverse constituencies. In summer 2015, President Cheng tasked an internal committee to pursue Carnegie's community-engaged institution designation.

Responding to identified needs from internal and external constituents for an expanded integration of the Flagstaff and university communities, President Cheng charged the Executive Vice President/Chief of Staff and the Vice President of Government Affairs and Business Partnerships to guide community engagement strategies. As a result, NAU hired a Community Relations Director and an Assistant Director for Off-Campus Life and Community Liaison programs, jointly funded by the City of Flagstaff.

Civic Engagement

[NAU Legacy: People Making a Difference](#) highlights alumni, faculty, and students who foster social responsibility within regional, national, and global communities.

The [Institute for Tribal Environmental Professionals](#), which is primarily grant funded, strengthens tribal capacity and sovereignty in environmental and natural resource management through culturally relevant education, research, partnerships, and policy-based services.

NAU's educational mission is connected to making a meaningful and lasting impact in communities with unmet needs, both in rural Arizona regions and globally. Numerous departments, clubs, organizations, and institutes respond to the needs of external constituents. For example, NAU's [Dental Hygiene Program](#) provides basic dental care to local children and needy individuals and travels throughout the region and to developing countries to provide basic dental care to people who don't have access to a dentist.

The [Civic Service Institute](#)'s multiple initiatives improve the quality of life for residents of northern Arizona. The institute coordinates volunteers, many of them students, to serve in groups throughout the region. The institute also houses AmeriCorps, which places 60 volunteers in more than 30 area agencies where critical social needs have been identified, and the Vista project, which focuses on increasing academic performance of low income youth in STEM fields and their interest in pursuing careers in STEM.

The [Center for American Indian Resilience](#) is a collaborative effort between NAU's College of Health and Human Services and the Mel and Enid Zuckerman College of Public Health at the University of Arizona to examine community assets, such as the role of traditional knowledge and collective memory and cultural strategies in teaching health behaviors and supporting positive health outcomes. The center is funded by the U.S. Department of Health and Human Services and the National Institute on Minority Health and Health Disparities as an Exploratory Center of Excellence (P-20) and offers research resources, education, and training to support resiliency-building education, programs, and activities.

Economic Development

According to the [Economic Impact Study](#) released in March 2015, NAU contributes approximately \$1.845 billion in economic activity annually to the Arizona economy, supporting a total of 20,344 jobs. In addition, NAU's 88,676 Arizona-resident alumni pay more than \$68 million in incremental state income taxes due to their educational attainment. NAU programs at the Phoenix Biomedical Campus [generated](#) a total economic impact of \$17.5 million, supported 114 jobs, and generated more than \$926,500 in state and local tax revenue in Arizona in AY13-14.

NAU's [Alliance Business Bank Outreach Center](#) in the W.A. Franke College of Business offers numerous services to external constituencies. Faculty and students serve the community through management development programs, consulting activities, and professional participation in community and volunteer organizations. The [Arizona Rural Policy Institute](#) publishes research outcomes in policy reports for local, regional, and statewide dissemination and provides technical assistance to communities for policy implementation. The [Center for American Indian Economic Development](#), established in 1985 by the Arizona Legislature, offers training, technical assistance and consulting, grant evaluations, student outreach, tribal leadership summits and conferences, and business outreach for the Johnson Scholarship Foundation.

Locally, NAU partners with the [Northern Arizona Center for Entrepreneurship and Technology](#) (NACET), assisting in management of its business accelerator. NAU is also a stakeholder in the [Economic Collaborative of Northern Arizona](#) (ECoNA).

Sources

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- 1.D.3.07 Center for American Indian Resilience
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- 1.D.3.11 Arizona Rural Policy Institute
- 1.D.3.12 Center for American Indian Economic Development
- 1.D.3.13 Northern Arizona Center for Entrepreneurship and Technology NACET
- 1.D.3.14 Economic Collaborative of Northern Arizona ECoNA

1.S - Criterion 1 - Summary

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

Summary

NAU communicates its mission through its planning framework, which consists of a clearly articulated vision, a mission statement, strategic goals, and values. These elements are regularly re-affirmed and broadly communicated; they drive the institution's planning and budgeting efforts. At the core of NAU's mission are students and their success, no matter what academic pathway they take. The university fosters community engagement across all academic and non-academic areas and values the positive impacts it has on communities in the region and far away.

Sources

There are no sources.

2 - Integrity: Ethical and Responsible Conduct

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

2.A - Core Component 2.A

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

Argument

To faithfully fulfill the university mission, administrators, faculty, and staff follow ethical processes to comply with local, state, and federal laws and regulations and respond to the needs of students, faculty, staff, and other constituents. The policy manuals of the university and its governing board support institutional integrity and ethical practices.

A policy advisory group led by Northern Arizona University's (NAU's) General Counsel was formed in 2016 to oversee institution-wide policy processes. Centralization of these efforts will ensure consistency, accuracy and currency of NAU policies. Efforts are underway to create a centralized repository of NAU policies.

Ethical Conduct by Individuals

[Arizona Revised Statutes](#) (ARS) provide the overarching provisions that guide ABOR's policies. [Title 15](#) of the [ABOR policies](#) as adopted on March 12, 1983, constitutes the complete and official body of policies for the governance and operation of NAU. The [university's system of policies](#) and procedures establishes expectations of conduct, audit processes, and oversight to ensure compliance. Expectations of ethical conduct are presented in the [Faculty Handbook](#) (Section 4.1), [Student Handbook](#), [Academic Integrity Policy](#), [Graduate College research integrity training](#), [research policies](#), and ABOR policies [1-102](#) and [6-905](#) on lobbying and political activity respectively. At the time of hire, employees are required to complete the [State of Arizona Loyalty Oath](#).

Conflict of Interest

ABOR's conflict of interest policies and prohibited acts are governed by [ARS 38-503](#), [ARS 38-504](#), and by ABOR's [Policy 3-901](#), which states that "*all regents and board and university employees must comply with Arizona conflict of interests laws. Civil and criminal penalties under applicable laws may result to an individual who fails to comply with the laws.*"

NAU seeks to ensure its faculty, staff, administrators, and student employees carry out their responsibilities with integrity and demonstrate the ethical behavior expected of public employees. Completion of the Conduct, Ethics, Reporting, and Transparency (CERT) [annual process](#) for employees discloses activities and public service, relationships, and membership in organizations that might create a conflict of interest and outlines [Standards and Expectations of Conduct](#). Compliance with the plan is regularly monitored by Human Resources. At the end of FY16, 98% of faculty, 98% of service professionals, and 96% of classified staff had completed the disclosure for that year. Based on responses, there are 732 [management plans](#) documented as a preventative measure to avoid conflicts of interest, where such potential exists.

NAU is dedicated to managing sponsored projects in a manner that guarantees the integrity of the process and maintains public trust in the integrity and credibility of its faculty, staff, and programs. The Office of the Vice President of Research oversees conflict-of-interest compliance with the [sponsored projects policy](#).

Harassment/Discrimination

The [Safe Working and Learning Environment Policy](#) (SWALE) is NAU's policy addressing discrimination and harassment based on protected category status. SWALE addresses rights and responsibilities for all members of the university community, including faculty, staff, students, and contractors. The [Equity and Access Office](#) oversees the implementation of the SWALE policy and addresses [formal and informal complaints](#) brought under the policy. In FY14-FY16, approximately 40 formal complaints were investigated and resolved by the office.

Students are informed of the SWALE policy on all course syllabi. NAU requires all employees (including student employees) to complete an [online training](#) entitled, "Intersections" that covers anti-harassment and discrimination as well as information on institutional requirements under Title IX. It requires annual mandatory refreshers for all individuals employed by NAU. In addition, the Equity and Access Office provides in-person educational presentations upon request.

Finance and Administration

The Office of the Vice President of [Finance, Institutional Planning and Analysis](#) (FIPA) oversees policies and practices that maintain the ethics and integrity of office operations and the university as a whole, through Comptroller, Internal Audit, University Budget, Institutional Research and Analysis, Data Governance Oversight, and Strategic Planning processes. In fall 2016, President Cheng identified a Chief Institutional Data Officer (CIDO) to oversee data governance. The CIDO is currently working with units across the institution to create consistent definitions and methodologies for institutional data use.

Enterprise PeopleSoft systems include a system of internal controls with continuous monitoring through the [Financial Controls Analysis and Reporting department](#). These activities are guided by ABOR [policy 6-711](#) and by [guidelines for implementation](#).

The Arizona Department of Administration – General Accounting Office publishes a [Code of Conduct for Employees Engaged in Accounting, Financial and Budgeting Activities](#). Annual audits of NAU's financial statements along with audits of full-time equivalency reports are conducted by the Arizona Auditor General's Office. Further, the Associate Vice President and Comptroller's Office sends [annual reminders](#) regarding the responsibility to report ethical violations, fraud, waste, or abuse of university resources.

The Comptroller's Office [policies and procedures](#), which apply to all university departments, guide all accounting-related transactions. The Comptroller's Office maintains an effective and efficient financial management system in compliance with applicable regulations and professional standards.

NAU annually employs approximately 4,600 student workers (classified as non-exempt) with 575 of those on Federal Work Study. The university recently centralized student employment administration to ensure that all practices are consistent with policy and reflect best practices for managing student employees.

NAU is committed to ensuring that policies and practice adhere to the highest level of integrity and ethics; thus, annual audits are conducted and actions are taken based on the findings ([FY16 Annual Audit Plan](#)). In addition, the [Single Audit Report of the State of Arizona](#) addresses the disbursement of federal funds by state agencies and includes a review of internal controls and compliance with federal laws and regulations.

Academic Functions

NAU's academic functions are guided by [14 academic policies](#) initially adopted by ABOR in 1983, and they are amended as needed. University [academic affairs policies](#) align with ABOR policies. The [Academic Standards Committee](#) (ASC), a Faculty Senate-charged committee, has representation from each college, as well as service offices involved in the review and enforcement of academic policy. The ASC creates new academic policies as needed and reviews proposed policy changes in order to maintain the academic standards of the university. The [University Graduate Committee](#) provides these same processes and procedures for graduate programming.

Personnel Functions

The Equity and Access Office (EAO) ensures the university meets its obligations regarding affirmative action in employment, equal opportunity, non-discrimination and harassment, accessibility and reasonable accommodations for individuals with disabilities, and for religious observation. EAO personnel serve as the university compliance officers for civil rights, including an ADA Coordinator and 504 Compliance Officer, a Title IX Coordinator, and an Assistant Vice President for Equity Compliance who serves as the compliance officer for affirmative action, Title VI and VII.

Guided by ethical policies, NAU's processes for recruiting, hiring, orienting, and evaluating employees are overseen by the [Office of Human Resources](#) (HR). The Equity and Access Office

also provides [training](#) and monitors the [search processes](#) for hiring faculty, academic professionals, and administrators. For faculty, the [Constitution of the Faculty of Northern Arizona University](#) provides for institutional governance as a shared process with faculty and these processes are managed through [shared governance](#).

Academic personnel policies are easily accessible on the Office of the Provost [website](#) and include standards for annual reviews, promotion and tenure, sabbatical, and hiring procedures. The Council on Academic Professionals has established [guidelines](#) to ensure consistency in performance evaluations for that group. Performance appraisal of administrators is guided by [ABOR policy 6-101](#) and [6-108](#).

A [standardized annual performance appraisal process](#) for classified staff and service professionals ensures a transparent, predictable, and fair evaluation of employees; the [process](#) is also clearly articulated on HR's website. A similar process is [required for all administrators](#).

Auxiliary Functions

To protect students' right to privacy of their non-directory information, the university requires faculty and staff in contact with student information to complete [FERPA training](#). Only individuals who complete an online FERPA tutorial have access to institutional information stored in the Data Warehouse. To access student data in student information systems, FERPA requirements and security practices also apply.

NAU is a Hybrid Entity (designated Health Care Components in accordance with 45 CFR § 164.105) under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and has designated its covered components as Campus Health Services, Communication Sciences and Disorders, Institute for Human Development, and Human Resources. The NAU [HIPAA Privacy Program](#) oversees all ongoing activities related to NAU's implementation of HIPAA policies and procedures and is the office primarily responsible for ensuring HIPAA compliance. The NAU HIPAA Privacy Officer is responsible for developing and implementing relevant procedures, training, and educational materials—and for responding to privacy breaches in designated departments and clinics. A HIPAA [online training tutorial](#) is available to employees and students.

NAU Athletics operates with integrity, establishing and following policies and processes for fair and ethical behavior. Reporting directly to the president, [the Vice President for Intercollegiate Athletics](#) is a member of the president's executive team and cabinet, allowing open and frequent access to NAU's leadership team. The [Faculty Athletics Representative](#) also reports directly to the president and is highly involved in all eligibility, academic, and National Collegiate Athletic Association (NCAA) issues.

The [Intercollegiate Athletic Committee](#) (IAC) acts in both oversight and advisory capacities for the Vice President for Intercollegiate Athletics. It also serves as a liaison between the department and other academic, administrative, and service components of the university. Members of the IAC participate in student-athlete exit interviews and serve on search committees. An [annual report](#) is submitted to the president at the end of each academic year.

As a result of NAU's recertification with NCAA in 2008, NAU utilizes Prong 3—effective accommodation of students' athletic interests and abilities—as its method for demonstrating opportunities for nondiscriminatory athletic participation opportunities. As such, NAU regularly surveys female student-athletes.

Reporting Violations

University employees are responsible for reporting suspected violations of policies, laws, regulations, or contractual requirements. Employees have the following resources for reporting: The Equity and Access Office [complaint process](#) and the NAU [Whistle Blower Policy](#), which is conducted in accordance with ABOR's policy [6-914](#) and applies to academic professionals, administrators, classified staff, faculty, and service professionals. A semi-annual [reminder](#) of the available resources for resolving workplace issues is sent to university employees. A [separate grievance procedure](#) is available for classified staff. The bias response protocol [website](#) houses additional resources. The Title IX coordinator has overall responsibility for [Title IX compliance](#), including training, education, and administration of grievance procedures. Resources for [reporting violations](#) (confidential or anonymous) are available for the NAU community.

The Office of Student Life is responsible for upholding standards of conduct for the university community by supporting students who need assistance with the conduct process (Incidents can be [reported online](#).) Students can also file [formal complaints](#). These complaints are [tracked and reviewed](#) by the Office of the Vice President for Enrollment Management and Student Affairs (or its designee) and are compiled annually to identify trends or issues that warrant further investigation, revision to existing policies, etc. (See also [complaint and retention policy](#).)

Sources

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- 2.A.03 Title 15_Arizona Revised Statutes
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- 2.A.05 University Policies - Northern Arizona University
- 2.A.06 FacultyHandbook Section 4.1 Code of Conduct
- 2.A.07 Student Code of Conduct in Student Handbook_ABOR Policy 5-308-
- 2.A.08 Academic Integrity Policy
- 2.A.09 Research Integrity - Graduate College
- 2.A.10 Research Policies
- 2.A.11 ABOR Policy 1-102 Lobbying
- 2.A.12 ABOR Policy 6-905-Political Activity
- 2.A.13 State of Arizona Loyalty Oath
- 2.A.14 ARS 38_503
- 2.A.15 ARS 38_504
- 2.A.16 ABOR Policy 3-901
- 2.A.17 Conduct, Ethics, Reporting, and Transparency_CERT
- 2.A.18 Standards_Conduct, Ethics, Reporting, and Transparency_CERT
- 2.A.19 Conflict Management Plan

- 2.A.20 NAU Conflict Of Interest Sponsored Projects Policy
- 2.A.21 SWALE Policy
- 2.A.22 Equity and Access
- 2.A.23 Make a Complaint - Equity and Access
- 2.A.24 Online Training - Equity and Access
- 2.A.25 FIPA Org Chart_2017.6
- 2.A.26 Financial Controls Analysis and Reporting
- 2.A.27 ABOR 6-711-Internal Control Responsibilities
- 2.A.28 ABOR Guideline For Implementation of 6-711-Internal Control Responsibilities
- 2.A.29 Arizona Law 0515 Code of Conduct for Employees Involved in Financial Activities
- 2.A.30 Annual Reminder
- 2.A.31 Full Comptroller policy
- 2.A.32 NAU FY 2016 Annual Audit Plan
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- 2.A.45 ABOR Policy 6-101-Conditions of Administrative Service
- 2.A.46 ABOR Policy 6-108-Evaluation of Administrators
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- 2.A.50 HIPAA Privacy Program - HIPAA Privacy Program - Health Insurance Portability
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- 2.A.53 Cheng appoints new faculty athletics representative - NAU News _ NAU News
- 2.A.54 Intercollegiate Athletic Committee
- 2.A.55 IAC 2016 2017 Final Report
- 2.A.56 Make a Complaint - Equity and Access
- 2.A.57 NAU Human Resources - Policy - 518 Whistle Blower Policy
- 2.A.58 ABOR Policy 6-914-Protection of Employees from Reprisal for Whistleblowing
- 2.A.59 Reminder_Employee Resources Letter Dec 2016
- 2.A.60 NAU Human Resources - Policy - 521 Grievance Procedure
- 2.A.61 Home - Bias Response Protocol
- 2.A.62 Title IX - Northern Arizona University

- 2.A.63 Title IX Reporting Violations
- 2.A.64 Report an Incident- Student Life
- 2.A.65 Formal Complaint Process for NAU Students
- 2.A.66 Complaint Tracking - Formal Complaint Process for NAU Students
- 2.A.67 Policy 100211 Student Complaint Collection and Retention Policy

2.B - Core Component 2.B

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

Argument

From its website, NAU offers links to an extensive collection of resources and information for future students and parents, current students, alumni, faculty, staff, and other constituents. The university's [homepage](#) highlights information related to Academics, Admissions, About NAU, Campus Life, Research, Athletics, Safety, News & Media, NAU Community, Policies and provides search functions for the entire university website and directory. In addition to the Key Facts provided on the About NAU – Overview page, the NAU [Fact Book](#), located on the Office of Institutional Research and Analysis (IRA) website, provides access to current and historical data about the university, including fast facts, student characteristics, enrollment data and retention/graduation rates by campus and online, finances, faculty and staff data, facility services, and a glossary of terms.

Faculty and Staff

Contact information for faculty and staff is provided in a searchable directory on the NAU homepage and departmental websites (also linked from the academic catalog for each degree program, e.g., [History](#)). A [list](#) of all faculty with their academic credentials is available from the Office of the Vice Provost for Academic Personnel website.

Every year, the University Budget Office publishes the State and Local Operating Budget. In addition to the structure of revenues and expenditures, the university also makes available by department a list of all employees, their job titles, and budgeted salaries.

Programs Offered and Degree Requirements

The academic [catalog](#) provides curriculum requirements for all NAU degree programs, regardless of location or delivery modality, and academic policies.

The Graduate College [website](#) provides general requirement information and additional policies for graduate programs.

Admissions Requirements

Admission requirements for all types of prospective undergraduate students, such as future freshmen, transfer, and returning students, are posted on the Orientation and Admission [website](#). If a degree program has additional admissions requirements, they are listed in the academic catalog (e.g., [Nursing](#)).

NAU operates joint admission programs ([2NAU programs](#)) in collaboration with twenty-two Arizona community colleges. Since the program began in fall 2008, 10,152 new students have enrolled in 2NAU programs through NAU's community college partners.

As a pioneer and state leader of innovative educational programs, NAU offers several ABOR-approved [90-30](#) programs that allow students to earn a bachelor's degree with 90 credits from a local community college and 30 credits at NAU; these are the most affordable bachelor's degrees in Arizona. Enrollment has increased in these programs from 977 in fall 2011 to 2,225 in fall 2016, with degrees awarded under these programs rising from 376 in FY12 to 785 in FY16.

Graduate student admission requirements are available in the academic catalog (e.g., [Psychological Sciences](#)).

Costs to Students

Our tuition-setting procedures are transparent, with input from students, faculty, staff, and external constituencies, including parents. University leadership facilitates an annual, university-wide conversation about setting [new tuition rates and fees](#). ABOR holds open meetings with students and other stakeholders to solicit feedback. The process culminates in a public [ABOR meeting in April](#), when ABOR votes on tuition and fees for the upcoming academic year.

NAU costs are also transparent to students and the public. Information on tuition and registration fees is available under "T" in the online NAU index and through the search function. The Office of Scholarships and Financial Aid [website](#) provides tuition and expenses for each tuition rate group, net price calculators, and budgeting tools. Tuition and fees vary by campus, term, academic career (undergraduate or graduate), and residency and are clearly presented [online](#). In addition, students receive an [individualized letter](#) outlining their tuition and fees and, if applicable, financial aid.

Since 2008, the university has operated an undergraduate tuition [pledge program](#), guaranteeing the same tuition rate for four years, and this is prominently featured in [recruitment materials](#).

NAU participates in the [Western Undergraduate Exchange Program](#) (WUE), allowing savings on out-of-state tuition rates for students from 14 western states. Reduced tuition is also available for 21 Native American tribes. The [Western Regional Graduate Program](#) (WRGP) allows out-of-state students, in specific programs that meet criteria of distinctiveness and quality, to earn their degrees at the cost of in-state tuition.

[Course fees](#), if applicable, are noted in the course description in the academic catalog, and are detailed in the class schedule. [Required textbooks](#) also are noted in the class schedule.

Title IV Required Disclosures

As required by Title IV, NAU makes information available publicly on a broad range of topics of interest to consumers (from graduation rates to information on campus crime), providing links to

the required information from [Student Consumer Information](#) at the foot of the university home page under Policies and on other web pages under Student Services.

Accreditation and Control

Accreditation information is available under “A” in the online NAU index and through the search function. Additionally, the [academic accreditation policy](#) provides information about NAU’s Higher Learning Commission accreditation status, specialized accredited programs, and academic associations.

As presented in Criterion 2.C., the state constitution establishes that the Arizona Board of Regents (ABOR) governs public higher education in Arizona. (See notation at the [bottom of NAU webpages.](#))

Sources

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- 2.B.02 Fact Book - Institutional Research and Analysis
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- 2.B.06 Graduate College
- 2.B.07 Undergraduate Admissions and Orientation
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- 2.B.09 2NAU Joint Admission Program
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- 2.B.11 Psychological Sciences Master of Arts
- 2.B.12 April 2016 Tuition Info Sheet Handout
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- 2.B.14 Office of Scholarships and Financial Aid
- 2.B.15 Tuition-Fees - Student and Departmental Account Services
- 2.B.16 Individualized Letter 2017
- 2.B.17 Our Pledge - Office of the Registrar
- 2.B.18 Recruitment Materials
- 2.B.19 Western Undergraduate Exchange Program - Office of the Registrar
- 2.B.20 Western Regional Graduate Program - Graduate College
- 2.B.21 Class Fees
- 2.B.22 Required Textbook
- 2.B.23 Student Consumer Info_HEOA_IRA
- 2.B.24 Policy 100212_Academic Program Accreditations and Professional Licensing Rates
- 2.B.25 Vice Provost for Teaching, Learning Design and Assessment

2.C - Core Component 2.C

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

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

Argument

2.C.1. ABOR, established under the state constitution to serve as a governing body to oversee public higher education, comprises eight citizen volunteers and two students appointed by the state governor; the governor and the Arizona Superintendent of Public Instruction serve as ex-officio members. ABOR's mission is to ensure qualified residents have access to undergraduate and graduate degree programs, and to promote the discovery, application, and dissemination of new knowledge, extending the benefits of university activities to all state residents.

ABOR creates policy and provides guidance on academic and student affairs, strategic plans, legal affairs, and public outreach; regulates financial management and capital development; and sets tuition and fees. Established [standing committees](#) meet regularly to focus on key ABOR responsibilities. The governing board meets at least [five times annually](#) with proceedings streamed from the board's website.

[ABOR's Strategic Plan](#) outlines the path for the state universities to achieve goals based on each institution's differentiated mission to offer more opportunities to Arizona residents, maximize existing resources, and create efficiencies through partnerships.

At the [November 2015](#) meeting, the ABOR president announced the board's metrics and quality markers and the need for the three state universities to produce more bachelor's or higher-degree graduates to keep up with the state's growth and demands. ABOR representatives and strategic planners from the three universities presented [the 2025 Enterprise and University Metric Targets](#), organized around the plan's four key goals. The universities worked together to develop [2025 targets for each metric](#), designed to reflect each university's unique mission and strategic priorities.

2.C.2. All ABOR meetings comply with Arizona's [open meeting law](#), and the board responds formally and informally to input from external and internal constituents. Agenda items

are [publicly available](#) on the ABOR website a week in advance of regularly scheduled meetings. At each board meeting—except executive sessions—ABOR schedules a call to the public as part of its regularly scheduled agenda, and public comments inform board decisions.

Internal NAU constituents are represented officially at board meetings via the university president, who delivers a President’s Report as a standing agenda item. The composition of the board ensures consideration of many perspectives, and an Arizona Faculties Council representative sits at the table with a standing item on each regularly scheduled board meeting agenda. Also, two student regents serve staggered, two-year terms, and a report by the Student Regents is part of each meeting. The board president also regularly meets with various student groups and representatives.

2.C.3. As referenced in 2.A., to ensure independence from undue influence, ABOR’s policies and processes address concerns with conflicts of interest ([ABOR 3-901](#)) per [ARS 38-503](#) and [ARS 38-504](#). In addition, as documented in board bylaws, *“except with the approval of three-fourths of the voting members in attendance at a meeting, and if permitted by law, no action shall be taken by the Board on any matter where material is not timely submitted in accordance with this section.”* Public meetings allow for accountability and documented abstention in cases of potential conflict of interest. The appointment process, which includes both the governor and the Arizona Senate, helps ensure the board is both objective and representative.

2.C.4. As specified in [ARS 15-1625](#), [ARS 15-1626](#), ABOR is granted the powers necessary for the effective governance and administration of the universities under its control, including the power to adopt (and authorize each university to adopt) such regulations, policies, rules, or measures as are deemed necessary, including the power to appoint and employ the university presidents. The board maintains oversight responsibilities via a schedule of [regular reports](#) from the university. The development of academic programs originates from the faculty and includes a [multi-step review and approval process](#), as overseen by the Office of the Provost.

Sources

- 2.C.1.01 ABOR Standing Committees
- 2.C.1.02 Master Calendar of Meeting Events _ Arizona Board of Regents
- 2.C.1.03 ABOR StrategicPlan_ReDesign_Final
- 2.C.1.04 ABOR 2015-11-Approved-Board-Meeting-Minutes
- 2.C.1.05 2025 Enterprise and University Metric Targets from ABOR 2015-11-Final-Board-Book
- 2.C.1.06 NAU Goals for 2025 Target Metrics
- 2.C.2.01 ARS 38-431.01
- 2.C.2.02 Board Meeting Schedule _ Arizona Board of Regents
- 2.C.3.01 ABOR Policy 3-901-Conflict of Interest
- 2.C.3.02 ARS 38-503
- 2.C.3.03 ARS 38-504
- 2.C.4.01 ARS 15-1625
- 2.C.4.02 ARS 15-1626

- 2.C.4.03 Reports Arizona Board of Regents
- 2.C.4.04 Curriculum-Academic Development - Office of the Provost

2.D - Core Component 2.D

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

Argument

Academic freedom is a cornerstone of higher education. NAU addresses the issues of academic freedom and the pursuit of truth within faculty policy and student policy. Sections 1.7.1. and 4.1.2. of the [Faculty Handbook](#) include the following statements:

As the most durable and stable of the constituencies immediately involved with the operation of the institution, the Faculty is the primary trustee of academic freedom and other traditional values of the University.

As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline.

To protect freedom of expression and the pursuit of truth in teaching and learning, governance responsibilities are vested in the Faculty Senate to approve new policies, changes, amendments, or additions to university governance structures or committees described in Section 1.7.2. of the [Faculty Handbook](#).

The [Student Code of Conduct](#) (page 2) states,

The aim of education is the intellectual, personal, social, and ethical development of the individual. The educational process is ideally conducted in an environment that encourages reasoned discourse, intellectual honesty, openness to constructive change, and the respect for the rights of all individuals. Self-discipline and a respect for the rights of others in the university community are necessary for the fulfillment of such goals. The Student Code of Conduct is designed to promote this environment at each of the state universities.

The right to freedom of expression is protected by the First Amendment and is upheld by NAU as stated in the Student Handbook ([Appendix 1](#)). The exchange of ideas is encouraged and expected to be conducted in a manner that does not disrupt the educational environment for others. (See NAU's policy regarding [classroom disruptions](#).)

Sources

- 2.D.01 Faculty Handbook Sections 1.7.1_4.1.2
- 2.D.02 Faculty Handbook Section 1.7.2
- 2.D.03 Student Code of Conduct_ABOR Policy 5-308
- 2.D.03 Student Code of Conduct_ABOR Policy 5-308 (page number 2)

- 2.D.04 Appendix L -Right to Freedom of Expression Student Life
- 2.D.05 NAU Classroom_Disruption_Policy

2.E - Core Component 2.E

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

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

Argument

2.E.1. The Office of the Vice President for Research (OVPR) and the Office of the Provost provide oversight and services that support the research and scholarly activities of faculty, staff, and students. The OVPR provides overall leadership and support for NAU's research enterprise.

The OVPR coordinates NAU's research safety and compliance programs, including Environmental Health and Safety, Animal Care, Human Subjects Protection, Conflict of Interest, and Research Integrity. Environmental Health and Safety [programs](#) oversee ethical standards and enforce government standards for waste disposal of chemicals and research agents.

The [Institutional Animal Care and Use Committee](#) oversees and ensures compliance with federal regulations regarding use of animals in research or education. To comply with the Code of Federal Regulation ([45 CFR 46](#)), the [Institutional Review Board](#) (IRB) oversees compliance regarding human subject research. Prior to submitting an application for approval of a research project, involved personnel must complete the [Collaborative Institutional Training Initiative program](#).

The university's [responsible conduct in research training policy](#) is intended to ensure that all NAU personnel and students (undergraduate and graduate) engaged in research, scholarly, or creative activities are adequately trained in the basic principles of research ethics.

The university's [Office of Sponsored Projects](#) acts as a central administrative office providing pre- and post-award support that includes finding funding, preparing and submitting proposals, managing awards, and providing resources and training for sponsored research and scholarly activities.

The Association of Public and Land Grant Universities (APLU) recently provided an [action plan](#) to strengthen safety cultures in higher education settings, calling on every institution to renew their commitment to safety in academic research, scholarship, and teaching. To demonstrate NAU's commitment, President Cheng established a [University Safety Committee](#) in October 2016 charged with developing a plan specific to the university's values and institutional needs.

2.E.2. NAU students are offered guidance and opportunities to learn about academic integrity and ethical use of information through several sources:

- Freshman orientation and faculty in classrooms address plagiarism, and NAU's e-Learning Center provides an [online workshop](#) to help students understand academic integrity with quizzes, definitions, videos, and exercises. After completing the workshop, a badge is earned (3,014 in AY15-16).
- All [course syllabi](#) are required to list the university policies associated with teaching and learning, including academic and research integrity, students with disabilities, academic contact hour, sensitive course materials, classroom disruption, and safe working and learning environments.
- Cline Library provides services and support to faculty, staff, and students around plagiarism, [scholarly](#) communication, open access, fair use, and other [research-related topics](#).
- Information Technology Services' policies for faculty, staff, and students include [Network Acceptable Use and Information Security](#) and address the ethical use of information resources.

NAU is a member of [International Center for Academic Integrity](#), which identifies, promotes, and affirms the values of academic integrity among students, faculty, and administrators.

2.E.3. NAU's overarching [Academic Integrity Policy](#) is posted in the academic catalog, referenced in [academic policies](#) of the Student Handbook, and noted on all [course syllabi](#). The policy cites examples of common violations of academic integrity, such as cheating, collusion, fabrication/fraud, obtaining an unfair advantage, and plagiarism, and outlines procedures, jurisdiction, and penalties that address breaches of the academic integrity policy. Any policy breach is reported by faculty through a [standardized form](#). The policy also spells out due process for students—the right to and how to appeal a finding. In AY15–16 (including summer term), 212 violations of the academic integrity policy were reported. Efforts are underway to examine best practices related to academic integrity investigatory processes.

In addition to the educational resources offered to students, the university provides technology that allows students and faculty to proactively identify potential plagiarism. Available to students and faculty through Blackboard Learn, Safe Assign can be used to prevent plagiarism and to help students properly attribute sources.

When a violation of academic integrity is both an academic issue and a student-conduct issue, the academic college and the Office of Student Life independently review the matter and make independent determinations concerning violations and appropriate sanctions. Students may be penalized academically (e.g., receiving no credit for assignment) and sanctioned through the [Student Disciplinary Regulations process](#).

NAU has institutional policies and procedures that address the verification of student identity, including the [Academic Integrity Policy](#) and the [Network Acceptable Use Policy for Students](#). NAU's general procedure to verify student identity, includes an electronic central authentication system with login and password to gain access to online course materials, and, in some cases, a second level of verification depending upon the distance-delivered program. ([See Federal Compliance Report, Question 12.](#))

NAU commits to the highest standards of ethics, integrity, and accountability in all aspects of research and recognizes that [research integrity](#) is critical for excellence and public trust. The [Misconduct in Research policy](#) is based on a misconduct policy from the Office for Research Integrity in the U.S. Department of Health and Human Services. The Research Integrity Officer ensures compliance with the policy.

For graduate and undergraduate students involved in research, overlapping violations might occur among the Academic Integrity, Responsible Conduct of Research, and Research Misconduct policies. Both the student's college and the Office of the Vice President of Research review violations of both the Misconduct in Research Policy and Academic Integrity Policy. Each unit makes determinations independently when considering violations and appropriate sanctions.

Sources

- 2.E.1.01 Safety Programs_Research Compliance
- 2.E.1.02 Animal Care - Research - Compliance
- 2.E.1.03 45 CFR 46 _ HHS.gov
- 2.E.1.04 Institutional Review Board
- 2.E.1.05 Human Subjects Research (HSR) – CITI Program
- 2.E.1.06 NAU_RCR_Training_Plan_Final May16
- 2.E.1.07 Research - Office of Sponsored Projects
- 2.E.1.08 APLU Action Plan
- 2.E.1.09 Culture of Safety - Research - Compliance
- 2.E.2.01 Online Workshop Faculty Tools - e-Learning Center
- 2.E.2.02 SyllabusPolicyStmts2-2014
- 2.E.2.03 Cline Library_Faculty Services
- 2.E.2.04 Cline Library Research Support Services - Research Guides
- 2.E.2.05 Network Acceptable Use and Information Security - ITS Policy Detail
- 2.E.2.06 International Center for Academic Integrity ICAI
- 2.E.3.01 Academic Integrity Policy - Policies at NAU
- 2.E.3.02 Academic Policies - Student Life
- 2.E.3.03 SyllabusPolicyStmts2-2014-1
- 2.E.3.04 Academic Integrity form
- 2.E.3.05 Student Disciplinary Procedures
- 2.E.3.06 Academic Integrity Policy - Policies at NAU
- 2.E.3.07 Network Acceptable Use Policy for Students NAU - ITS Policy Detail
- 2.E.3.08 Federal Compliance Report Question 12
- 2.E.3.09 Research Integrity - Research - Compliance
- 2.E.3.10 Misconduct-in-Research-Policy

2.S - Criterion 2 - Summary

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

Summary

NAU's integrity begins with the Arizona Board of Regents, which governs the state's public higher education programs. Integrity is highly valued at Northern Arizona University, among both people and programs, in keeping with the mission of a public state university. Institutional integrity is the result of clear policies, protocols, and practices; communication of these obligations to students, faculty, and staff; and transparency both inside and outside the university.

Sources

There are no sources.

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

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

3.A - Core Component 3.A

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

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

Argument

3.A.1., 3.A.2., 3.A.3

As stewards of curriculum and assessment, faculty lead the review and approval of curriculum and assessment policies and practices. The [Faculty Senate Bylaws](#) state that the Curriculum & Assessment Coordinating Committee (CACC), University Undergraduate Committee (UUC), and University Graduate Committee (UGC) recommend to the provost specific policies and procedures that ensure quality in the university-wide curricula for all NAU courses and programs. (See [Faculty Senate committees and councils](#) and annual reports for [CACC](#), [UUC](#), [UGC](#), Academic Standards Committee ([ASC](#)), Liberal Studies Committee ([LSC](#))).

In May 2014, NAU faculty affirmed, through Faculty Senate approval of the [Degree Program Expectations](#) (DPEs), that intentional design at the program and course level and systematic assessment of learning outcomes should drive curriculum development and inform Academic Program Reviews. The DPEs ensure that faculty intentionally design all degree programs with well-articulated learning goals/outcomes. According to the DPEs, all NAU degree programs (undergraduate and graduate, regardless of location or delivery modality) must adhere to and document how their program(s) achieve and maintain high-quality curriculum and assessment standards and practices, including:

1. Degree Program Purpose
2. Degree Program Student Learning Outcomes

3. Intentional Curriculum Design with Curriculum Maps
4. Strategic Course Design
5. Systematic Assessment of Degree Program Student Learning Outcomes
6. Use of Assessment Findings for Continual Improvement and Dissemination

Consistent with institutional values, all degrees and courses are held to the same high standards as articulated in the DPEs and are reviewed through two complementary processes (below). These processes ensure NAU courses and programs are current, relevant to the field, and apply performance expectations that are appropriate to the degree or certificate.

1. [Curriculum review process](#): Faculty on college curriculum and assessment committees review course and degree plan proposals (reviewers' forms - [courses](#) and [plans](#)) to ensure quality of all new NAU courses and programs, regardless of delivery mode or location, prior to recommending curricula to the provost for inclusion in the academic catalog.
 - Each course proposal must meet the criteria for Strategic Course Design, including alignment of the course purpose, course learning outcomes, assessment measures to determine mastery of outcomes, and clear articulation of the relationship to other courses. [Statewide guidelines](#) for lower- and upper-division proficiency and [co-convened](#) standards inform faculty discussions.
 - Each degree plan proposal must clearly articulate the relationship to other degree programs and must meet criteria for intentional design, including alignment of the degree purpose statement, degree program learning outcomes, and assessment measures to determine mastery of outcomes.
2. [Academic Program Review](#) /Specialized Accreditation process: Faculty on university-level curriculum and assessment committees review courses and degree programs to ensure quality as part of the periodic review process. External reviewers provide key input regarding whether curricula are up to date and expectations are appropriate for the academic level. (See Criterion 4.A.1.)

In this manner, NAU ensures the quality of its educational programs for diverse student populations in Flagstaff, throughout the state, and online, including through the [Personalized Learning](#) program. The processes also ensure student learning outcomes are articulated and differentiated for NAU's undergraduate, graduate, and certificate programs. Student learning outcomes are shared with students and external audiences through their publication in the academic catalog (e.g., [Spanish, BA](#) and [Anthropology, MA](#)) and in a searchable [NAU learning outcome repository](#).

In AY11-12, the Faculty Senate charged the university-level curriculum committees to collect each program's Degree Program Student Learning Outcomes. Findings showed that many programs' outcomes were too broad to guide faculty in prioritizing learning topics and skills, teaching consistently toward specific learning outcomes, and assessing program outcomes. In addition, undergraduate and graduate program outcomes were not clearly differentiated, leading to a potentially inaccurate perception that the same level of learning was required for bachelor's, Master's, and doctoral degrees. In [response](#), over several years faculty developed well-

articulated, explicit learning outcomes based on university agreed upon characteristics of high-quality learning outcomes.

As a result of these efforts and the DPEs, NAU is experiencing a profound cultural shift: learning outcomes are more deliberately used to design assignments, courses, and programs and guide assessment efforts, which facilitates faculty's use of assessment findings to alter or redesign the curriculum for continual improvement and to identify and build on students' learning strengths.

By engaging faculty in the creation of a Program Purpose, Program Learning Outcomes, and a Curriculum Map, NAU has established expectations wherein all programs must articulate and differentiate learning for varying degree levels with distinct curricular requirements.

Degree requirements for all NAU degrees are included in the [academic catalog](#). The catalog is updated annually to reflect approved changes, as described above. The catalog also includes academic policies related to course numbering, credit and contact hour, prerequisite, etc.

Bachelor's degrees require a minimum 120 units ([Policy 100801](#)) and undergraduate certificate programs require a minimum 15 units ([Policy 100201](#)).

Post-baccalaureate degree requirements, including at least 30 additional units at NAU and all major and minor requirements for the new degree ([Policy 100807](#)).

Accelerated undergraduate/graduate programs ([Policy 100309](#)) provide the opportunity for academically qualified students to earn both bachelor's and master's degrees in an accelerated manner.

Master's degree programs require a minimum 30 units (Policy Number: [100811](#)), while doctoral degrees require a minimum 60 units (Policies [100802](#), [100803](#), [100804](#), [100805](#), [100815](#)). Many graduate degree programs require more than these minimum units, as graduate degree requirements vary by discipline and may be dictated by established criteria in the field or specialized accrediting body requirements (e.g., Doctor of Physical Therapy, Doctor of Occupational Therapy).

Graduate certificate programs require a minimum 12 units (Policy [100206](#)). Some certificates are designed to be earned in tandem with a graduate degree, and some are designed as a stand-alone credential for professional development, meeting federal [gainful employment](#) regulations.

NAU also provides post-graduate opportunities, such as postdoctoral research fellowships and internship programs. These experiences are customized to meet individuals' academic and career needs and, in some cases, accrediting body and professional licensure requirements.

Class offerings, whether face-to-face or online, align with the course description in the academic catalog. The [University Policy Regarding Syllabi](#) ensures that a course's purpose and learning outcomes are consistent across class sections, modes of delivery, and physical locations. Efforts are currently underway to establish Syllabi of Records for all courses. Every four years, at a

minimum, and during the Academic Program Review processes, the academic unit reviews class syllabi to ensure alignment with the Syllabus of Record.

In spring 2011, the e-Learning Center began implementing the [Quality Matters \(QM\) rubric](#), design standards for high-quality online and blended courses. Currently, 151 faculty and staff have created QM login IDs and have completed a total of 240 training courses, webinars, and conferences. Twelve faculty and staff members have been certified by QM as Peer Reviewers, four as Master Reviewers, and three as Trainers. Five courses have been submitted for national review, and two are QM certified. Thirty courses have undergone internal NAU review. A QM-based course shell template in Blackboard Learn (NAU's learning management platform) is available for faculty to use in developing courses.

NAU's international programs and courses taught at international locations adhere to the same standards, systems, and procedures as other NAU programs. Likewise, faculty hiring and evaluation processes are the same, regardless of the campus or instruction location, and are governed by policies published in the [Faculty Handbook](#) (Section 4).

Sources

- 3.A.1.2.3.01 MAR 2016 Senate Bylaws APPROVED
- 3.A.1.2.3.02 FacultySenate_OrgChart_DCC added
- 3.A.1.2.3.03 Curriculum and Assessment Coordinating Committee_CACC.docx
- 3.A.1.2.3.04 University Undergraduate Committee_UUC
- 3.A.1.2.3.05 University Graduate Committee_UGC_Year_End_Report.docx
- 3.A.1.2.3.06 Academic Standards Committee_ASC
- 3.A.1.2.3.07 Liberal Studies Committee_LSC
- 3.A.1.2.3.08 Finalized Curriculum and Assessment Degree_Program_Expectations_Approved May5_2014
- 3.A.1.2.3.09 Curriculum_Process_AY2016-17_Aug08_2016
- 3.A.1.2.3.10 Course Proposal Review Form
- 3.A.1.2.3.11 New Plan and Plan Change Review Form
- 3.A.1.2.3.12 Statewide Guidelines for Upper and Lower Division Criteria
- 3.A.1.2.3.13 Co-ConveneStandards
- 3.A.1.2.3.14 Academic Program Review
- 3.A.1.2.3.15 Academic Catalog _ Northern Arizona University
- 3.A.1.2.3.16 Policy 100801 Requirements for Baccalaureate Degrees
- 3.A.1.2.3.17 Policy 100210 Academic Plans, Undergraduate (Definitions)
- 3.A.1.2.3.18 Policy 100807 Definitions_ Academic Plans, Second Bachelor's Degree (Post-Baccalaureate) -
- 3.A.1.2.3.19 Policy 100309 Bachelor's_Master's Program
- 3.A.1.2.3.20 Policy 100811 Requirements for Master's Degrees
- 3.A.1.2.3.21 Policy 100802 Requirements for Doctoral the Degree, DNP
- 3.A.1.2.3.22 Policy 100803 Requirements for the Doctoral Degree, DPT
- 3.A.1.2.3.23 Policy 100804 Requirements for the Doctoral Degree, Ed.D
- 3.A.1.2.3.24 Policy 100805 Requirements for the Doctoral Degree, Ph.D

- 3.A.1.2.3.25 Policy 100815 Requirements for the Doctoral Degree, OTD
- 3.A.1.2.3.26 Policy 100206 Academic Plans, Graduate Certificates
- 3.A.1.2.3.27 Gainful Employment
- 3.A.1.2.3.28 Spanish, Bachelor of Arts _ 2017-2018 Academic Catalog
- 3.A.1.2.3.29 Anthropology - Research, Master of Arts _ 2017-2018 Academic Catalog
- 3.A.1.2.3.30 NAU Degree Program Student Learning Outcomes
- 3.A.1.2.3.31 Response_Summary of DPSLO differentiation efforts
- 3.A.1.2.3.32 Personalized_Learning
- 3.A.1.2.3.34 Policy 100227 University Policy on Syllabi
- 3.A.1.2.3.35 QM Rubrics & Standards _ Quality Matters
- 3.A.1.2.3.36 Section 4 Faculty Handbook

3.B - Core Component 3.B

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

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

Argument

3.B.1. Consistent with NAU's vision to provide rigorous learning opportunities that prepare graduates to excel in creating a sustainable future, NAU's general education program, titled [Liberal Studies](#), complements the learning goals of the undergraduate degree programs. The mission of the Liberal Studies Program is to cultivate informed, responsible, productive, engaged, and self-reflective citizens of the world. Students develop knowledge in sciences, social and political worlds, arts and humanities, and various cultures to complement the work in their major.

University-wide requirements, including Liberal Studies ([Policy 100216](#)) and U.S. Ethnic Diversity and Global Diversity requirements ([Policy 100215](#)) are centralized: NAU requires undergraduate students, regardless of modality or location, to fulfill the same requirements.

Students can transfer a block of courses from a community college to fulfill Liberal Studies requirements. (See the [Arizona General Education Curriculum](#) (AGEC) program in Criterion 4.A.2. and 4.A.3.). Of the May 2015 graduates, 65% of students who transferred into a statewide or online program completed the AGEC prior to attending NAU, whereas 7% of students who transferred into a Flagstaff-based program completed the AGEC.

3.B.2. The [Liberal Studies Program](#) is intentionally designed to ensure students acquire broad knowledge, intellectual concepts, and skills that align with NAU's mission as a public institution. [Foundation requirements](#) in English and mathematics provide an introduction to

college-level composition and quantitative reasoning. These skills are required for student success in discipline-specific and university-wide requirements and are necessary for lifelong learning.

NAU's Liberal Studies Program incorporates a breadth of learning to ensure students obtain a wide variety of perspectives and means of expanding knowledge through its Distribution Blocks requirement (Cultural Understanding, Science, Aesthetic and Humanistic Inquiry, Social and Political Worlds). Each Distribution Block has a well-articulated [purpose statement and learning outcomes](#), which guide the development of Distribution Block-designated courses. Overlaid on the Distribution Block requirement are the [Liberal Studies Essential Skills](#) that align with outcomes employers seek in college graduates. All Liberal Studies courses integrate at least one Liberal Studies Essential Skill, so that students have multiple opportunities to develop their critical thinking, oral communication, writing, quantitative reasoning, scientific inquiry, and aesthetic and creative thinking skills.

Faculty members who serve on the Liberal Studies Committee ensure strategic course design through the review of courses seeking Liberal Studies designations, evaluating whether courses achieve the purpose and learning outcomes of the Distribution Block and ensuring assignments assess the learning outcomes of the course.

In addition, as academic units engage in Academic Program Review/Specialized Accreditation, the Liberal Studies Committee reviews the unit's courses with Liberal Studies designations to ensure that courses continue to align with the intended learning outcomes.

3.B.3. NAU undergraduate and graduate programs engage students in collecting, analyzing, and communicating information; mastering modes of inquiry or creative work; and developing skills adaptable to changing environments.

Undergraduate

Highlighting the importance of intellectual inquiry and the acquisition, application, and integration of broad learning and skills for students, the Faculty Senate approved institution-wide learning outcomes in AY11-12. In 2017, the Faculty Senate approved revised [University Learning Outcomes](#) that capture learning that occurs through curricular and co-curricular experiences. The outcomes explicitly state NAU's shared goals for what students will know, what they will be able to do, and how they will approach problem-solving and decision-making after successfully completing academic requirements and co-curricular experiences at NAU. For faculty and staff, the collectively agreed-upon outcomes provide direction for the development of Student Affairs programming as well as the intentional design of program-level learning outcomes.

No single assessment method or measure is used to assess the outcomes. Academic and Student Affairs programs use a variety of assessment approaches—qualitative and quantitative, direct and indirect, summative and formative—to capture student achievements and as well as areas for growth regarding the outcomes and use this evidence to continuously improve student learning and development at NAU. (See Criterion 4.B.)

As part of their major, all undergraduate students are required to complete a [Junior Level Writing course and a Senior Capstone experience](#). The Junior Level Writing requirement focuses on discipline-specific writing and extends students' abilities in collecting, analyzing, and communicating discipline-specific information ([sample syllabus](#)). High-quality Capstone experiences engage students in culminating work that demonstrates mastery of disciplinary modes of inquiry or creative work—including collecting, analyzing, and communicating information—and application of disciplinary skills adaptable to changing environments ([sample syllabus](#)).

In addition to students working on the mastery of these skills in Liberal Studies courses, the majority of programs also explicitly integrate these skills throughout their degree requirements. NAU conducted a [study](#) examining the extent to which undergraduate degree program learning outcomes explicitly state that the degree program engages students in the following skills: collecting, analyzing, and communicating information, mastering modes of inquiry or creative work, and developing skills adaptable to changing environments. The study found that 83% of degree programs explicitly include communication as one of their learning outcomes, 87% of degree programs explicitly develop creative and aesthetic thinking skills, and 89% of degree programs explicitly engage students in using disciplinary knowledge and abilities in different contexts.

In 2015, NAU first-year students and seniors ranked themselves similarly to students at Carnegie peer institutions on the four National Survey of Student Engagement (NSSE) Indicators for Academic Challenge, including higher order thinking, reflective and integrative learning, learning strategies, and quantitative reasoning. (See [overview of results](#).) The [High Impact Practices Participation report](#) compares the percentage of NAU students who participated in a variety of high impact practices, including the percentage who participated overall, with those at other institutions.

Graduate

Graduate programs at NAU serve a range of professional and academic purposes, all of which require students to demonstrate advanced proficiency in collecting, analyzing, and communicating information; mastering modes of inquiry or creative work; and developing skills adaptable to changing environments, as articulated in the degree program's student learning outcomes.

[Master's degree requirements](#) vary but all include at least one of the following:

- A thesis: A scholarly work that demonstrates the student's comprehensive knowledge in a specialized field of study; an aptitude in designing a research project and conducting the necessary research; an ability to integrate prior learning; and skills in communicating complex theoretical, methodological, and/or analytical concepts in written and oral formats.
- A capstone experience: A large-scale project that demonstrates the student's comprehensive knowledge in a specialized field of study; application of this understanding and discipline-specific accomplishment through a substantial final product

(e.g., artistic display, musical performance, portfolio, or extensive presentation), fieldwork activity, or an applicable internship experience.

- Coursework: A method of demonstrating advanced competencies specific to the field through additional coursework and/or comprehensive oral and written examinations.

NAU doctoral degrees require the completion of a dissertation and/or an advanced clinical internship:

- The [dissertation](#) demonstrates a student's ability to conduct highly advanced and original research that advances the discipline. The multi-faceted process enables students to: create and design a research project; conduct and interpret research and data; and communicate highly complex concepts both in written and oral formats, while using established theoretical and methodological approaches appropriate for the discipline.
- An extensive "hands-on" clinical internship demonstrates a student's ability to examine, evaluate, diagnose, and apply interventions and evidence-based practice.

3.B.4. Commitment to diversity is a strategic priority at NAU and is evident in curricular and co-curricular offerings. NAU has course requirements, diversity-related curricula, and initiatives devoted to human and cultural diversity.

Course Requirements

All undergraduate students must complete 6 credits of Cultural Understanding coursework as part of Liberal Studies and 6 credits related to [U.S. Ethnic Diversity and Global Diversity](#).

The purpose of the Cultural Understanding requirement is to enhance students' understanding of different cultures of the world through the study of language, literature, religion, and artistic creation. Courses in this block provide guided opportunities for students to:

1. Develop analytic frameworks that facilitate awareness of how cultures vary and shape human experience,
2. Cultivate an appreciation for the unique features and perspectives of varied cultural traditions,
3. Acquire greater familiarity with different cultures of the world, and/or
4. Learn about diverse cultures.

The study of U.S. Ethnic and Global Diversity introduces students to diverse perspectives from the United States and across the globe. Students increase their awareness of the historical, political, economic, environmental, and cultural traditions and experiences that have been overlooked or excluded by majority cultures in the United States or the world. Viewing societies from overlooked perspectives helps students develop a deeper respect for and understanding of current social interactions among communities and nations.

Diversity-related Curricula

Through a variety of [diversity-related curricular offerings](#), students can take courses or obtain degrees, minors, or certificates in a range of areas related to diversity, global engagement, under-represented populations, and social justice.

International Initiatives and Programs

The [Center for International Education](#) (CIE) is charged with providing leadership in the development and execution of the university's strategic plan for the internationalization of the institution and curriculum. CIE supports faculty development opportunities through international teaching and research, develops and nurtures relationships with partner universities and organizations overseas, provides a variety of services to international students and visiting scholars, manages the recruitment and admission of international students, and offers extensive support to NAU students seeking study abroad opportunities. In recognition of the CIE's accomplishments, NAU received the [2012 Paul Simon Award for Comprehensive Internationalization](#).

To prepare students for global competence upon graduation, NAU implemented the [Global Learning Initiative](#) (GLI). The GLI was designed to ensure that students have multiple, substantive, and intentional encounters with global perspectives, diversity issues, and environmental impacts in their academic disciplines. (See [example plan](#).)

NAU's Education Abroad (EA) enrollments have grown at an average pace of 12% over the past five years. (See page 3 of the [study abroad report](#).) In AY15-16, 734 students participated in study abroad. Several [exemplary study abroad programs](#) were recognized with a [2017 Heiskell Award](#). The Global Business Program, Global Affairs, and Global Science and Engineering Program prepare future international leaders in science, politics/international affairs, engineering, and business to effectively communicate across borders and cultures. Through fieldwork experiences conducting research and/or internships within international organizations, these partnerships broaden students' opportunities to contribute to professions and communities; open connections to a professional, interdisciplinary global network; and give students skills to creatively address challenges worldwide.

Awarded the [Provost Award for Excellence in Global Learning in 2014](#), the [Dental Hygiene Department](#) travels to under-served areas all over the world every year to provide dental hygiene services to people in need. These varied learning opportunities provide students with applied experiences that facilitate NAU's global learning goals.

Contributing to a rich, vibrant Flagstaff campus community, NAU's international student population has increased from 458 in 2007 to 1,291 in 2016. ([See overall enrollment profiles](#).) International students engage in a variety of degree programs, thus providing domestic students exposure to international cultures and belief systems in the classroom. To facilitate non-native English-speaking student success, NAU's [Program for Intensive English](#) helps international students improve their English in preparation for admission to the university and assists in their transition and engagement at the university. Assessment of student success ([International Student Success Reports](#)) is used to inform continuous improvement practices.

3.B.5. Engagement in scholarship, creative work, and the discovery of knowledge is a key aspect of NAU's mission and is evidenced by faculty, graduate student, and undergraduate student engagement.

Faculty

NAU ensures faculty members contribute to scholarship, creative work, and the discovery of knowledge through its strong presence in the annual review process and promotion/tenure processes. NAU's [Conditions for Faculty Service](#) (COFS) articulates the processes for documenting and evaluating faculty members' expectations and engagement in research, scholarship, and creative works. Annually, each faculty member, with their academic unit leader, completes a Statement of Expectations (SOE) outlining 1) student-related responsibilities; 2) scholarship, research, and/or creative activities; and 3) service that meet the needs of the academic unit and the faculty member's professional development. The SOE serves as the basis for the faculty member's evaluation. The [Faculty Activity and Achievement Reporting](#) (FAAR) system facilitates the evaluation process and allows NAU to report accomplishments for departments, colleges, and the university. [Reports from FAAR](#) document the allocation of student-related responsibilities; scholarship, research, and/or creative activities; and service by faculty member and across academic units and colleges.

Classified by the Carnegie Foundation as a high research doctoral university, NAU is committed to expanding the boundaries of knowledge through research. NAU continues to strengthen its institutional research portfolio, moving toward the goal of becoming a top 200 research university in the United States. Strategic hires, new centers, and collaborations with external partners are all strategies that NAU is undertaking to enhance its research agenda. Increasing strength in research is noted in a series of indicators, such as pre-award data for sponsored projects. FY16 saw an increase in awards to \$55 million, up from \$47 million the previous year. As reported in the [FY16 NSF HERD Summary](#) (page 4) highlighting nationally reported comparative data for universities, NAU research expenditures have grown from \$26.5 million to \$39.6 million in the past decade. Based on the 2016 Annual Research Template submitted to the Arizona Board of Regents (ABOR) (See Criterion 1.D.1.), Public Service Expenditures were approximately \$31.7 million. In [Technology Transfer, NAU exceeded set goals for FY16](#), generating 50 invention disclosures against a goal of 27, and receiving 6 U.S. patents against a goal of 3. As of August 2016, NAU held 29 active U.S. patents.

The NAU [research enterprise](#) boasts strengths in linguistics, informatics, bioengineering and biosciences, genetics and genomics, ecology and environmental research, forestry, sustainability climate science, astronomy, and Native American health and wellness. NAU hosts more than [30 research institutes and centers](#), giving faculty and students opportunities to shape public policy, provide research that impacts the environment and communities, and contribute to the economic development within the state of Arizona.

Moreover, the College of Arts and Letters engages [faculty](#) and [students](#) in impactful and innovative scholarship and creative works through a wide palate of media including, but not limited to: music recitals, concerts, opera, plays, poetry, literature, art exhibitions, and public history projects. These events actively engage the campus and local community, and the impact

of these original scholarly and creative activities reach far beyond campus and community by impacting the humanities and arts disciplines in meaningful ways. For example, the [Martin-Springer Institute](#) attends to the experiences of the Holocaust in order to relate them to today's concerns, crises, and conflicts, and engages in extensive community outreach to enhance understanding of these issues.

One way NAU supports continuing innovation within communities is by providing open access to scholarly and creative works, research, publications, and reports by NAU's faculty, students, staff, and administrative units. Launched in 2015, [OpenKnowledge@NAU](#) is a dynamic, user-friendly online tool providing public access to a growing body of work from a wide range of disciplines.

Graduate Students

NAU graduate programs serve to educate advanced students by expanding and deepening their understanding and application of various specialized disciplines. All graduate degrees require a rigorous curriculum encompassing several elements including, but not limited to: advanced coursework; practical application experiences (e.g., clinical work, internships, experimental research, creative works); and a capstone or culminating project (e.g., thesis or dissertation, final project, clinical or internship capstone). Students present their work to the public and within their academic units to demonstrate graduate-level mastery.

A signature annual event is the Graduate College's [3 Minute Research Presentation](#) (3MRP), which is a competition where graduate students have three minutes to present their thesis, dissertation, scholarship, creative work, or capstone project to an intelligent, non-specialist audience. The Graduate College launched this event to offer valuable and necessary professional development skills and training for graduate students as well as to support and demonstrate the wide range of disciplinary projects among all NAU graduate programs to the campus and Flagstaff community. The winners of the 3MRP also participate in the statewide competition, [Arizona 3-Minute Grad Slam](#), and the regional competition at the annual Western Association of Graduate Schools conference. Paired with the 3MRP, the Graduate Student Government hosts a Poster Symposium on the same day to showcase research and scholarship from all disciplines across the campus as well as offer training and a platform for students presenting posters at conferences.

Additionally, the Graduate Student Government, with help from the Offices of the President and Provost, funds graduate students to travel and present at discipline-specific professional conferences, providing them a wealth of professional experience and increasing their knowledge of innovative and contemporary practices within their disciplines. In AY15-16, Graduate Student Government awarded \$32,456 to 203 graduate students and in AY16-17 that amount increased to \$38,390 for 143 students.

Undergraduate Students

As documented in the academic catalog, students can earn academic credit for participating in undergraduate research, creative activities, and/or independent study courses, regardless of their

academic major, using [pre-established university course lines](#) at the lower-division and upper-division levels. NAU's [undergraduate research office](#) also coordinates a series of scholarship and grant programs across colleges in research and creative endeavors.

The annual [Undergraduate Symposium](#) emphasizes the importance of undergraduate research as a key approach to involve students in collecting and analyzing data, engaging in scholarly and creative work, and developing transferable skills. Each year, students from across colleges come together to share creative discoveries and present in-depth research and scholarly work to peers, professors, alumni, high school and middle school students, and the university and Flagstaff communities. In 2016, 1,134 students showcased more than 500 posters and 240 presentations, including traditional research activities, creative endeavors such as painting exhibitions and creative writing blogs, and collaborative service learning projects that connect students to local communities. In summer 2016, NAU hosted three National Science Foundation-funded Research for Undergraduate Experience opportunities (e.g., [Environmental Sciences](#)).

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3.C - Core Component 3.C

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

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

Argument

3.C.1.

NAU strives to employ sufficient high-quality faculty members to meet classroom (teaching) and non-classroom (research and service) obligations and to fulfill its mission. Since NAU's last accreditation, the number of [full-time faculty members](#) has increased 41%, from 774 (November 2007) to 1,094 (November 2016). In November of 2016, tenured and tenure-track faculty made up 49% of the full-time instructional faculty, compared to 75% in November of 2007. In fall 2016, NAU employed 569 part-time instructors, compared to 726 in November of 2007. The [ratio of FTE students to full-time faculty](#) was 24 in 2007 and 26 in fall 2016.

To address enrollment growth and meet instructional needs, including our distance-delivered programs, NAU hired 107 and 118 teaching faculty in AY15-16 and AY16-17, respectively. Additionally, in AY15-16 and AY16-17, respectively, 23 and 31 tenure stream faculty were hired to bolster research productivity.

Defining faculty continuity as the percentage of faculty who returned the following year, the [average continuity](#) of tenured and tenure-track faculty was 95% and 85% for non-tenure eligible faculty for the period of 2011 through 2017.

To better understand faculty members' experience and connections to NAU, the Office of the Provost commissioned a Collaborative on Academic Careers in Higher Education (COACHE)

Faculty Job Satisfaction survey in AY13-14. An advisory team reviewed the results to develop specific [recommendations](#) to assist faculty in achieving their goals while maintaining high job satisfaction. Relatedly, NAU provides non-tenure eligible faculty opportunities for professional development and career progression, such as lecturer, senior lecturer, or principal lecturer.

3.C.2. NAU's well-articulated search and hiring processes ensure that all instructors are appropriately qualified, including faculty in distance-delivered programs. The [Conditions of Faculty Service](#) (COFS, Section C) document defines search and hiring procedures for faculty and instructors that meet the Equity and Access Office's [faculty search guidelines and processes](#). Faculty hiring follows a standardized search process and requires specification of required qualifications, academic credentials, etc., for each position. The approval process for hiring all faculty routes approval through the academic dean, the Office of the Provost, and the Office of the President.

The Faculty Senate approved the [Required Qualifications for Instructional Faculty policy](#). As of April 2017, [75.7% of full-time faculty members](#) are credentialed with doctoral or terminal Master's degrees.

NAU does not have contractual arrangements or consortial programs nor does it offer dual-enrollment courses in high schools.

3.C.3. and 3.C.4. Through the annual review, promotion and tenure review, and post-tenure processes, NAU ensures that all faculty members are current in their disciplines, proficient in teaching responsibilities, and engaged in ongoing professional development. Faculty members (tenured, tenure-track, non-tenure-eligible) are evaluated annually for performance appraisal and development using the established institutional policies and procedures found in COFS. [Section 1.4](#) outlines the scope of evaluation, review and evaluation criteria, calendar for performance evaluation procedures, personnel involved in faculty evaluation, materials required for review and evaluation, and policies for faculty review and evaluation. COFS also covers annual renewal, promotion, and tenure and post-tenure review processes. Part-time faculty are evaluated according to procedures established within the academic unit.

Aligned with the institution-level policies and processes, each academic unit is required to have workload documents, guidelines for Statement of Expectations (SOE), annual evaluation criteria, and promotion and tenure criteria. Before implementation, the dean and the provost approve criteria in writing.

NAU ensures faculty members are current in their disciplines, typically by providing faculty with opportunities to engage in research, scholarship, or creative works; participation in appropriate professional organizations; and publication/presentation of scholarly work. (See Criterion 3.B.5.) [Reports from FAAR](#) document faculty scholarly engagement.

Consistent with [ABOR policy 6-221](#), student opinions of faculty in teaching roles are incorporated into the annual review process. With support from the Faculty Senate and the Office of the Provost, the Student Feedback Survey Working Group (SFSWG) reaffirmed that student opinion feedback (survey scores and comments) should be only one of multiple measures

of teaching effectiveness. A new [SFSWG-developed student opinion survey](#) (page 9) was piloted in the spring 2017.

NAU values and recognizes faculty excellence as demonstrated by the following awards: [President's Distinguished Teaching Fellows, NAU Teaching Academy, and Faculty Exemplars](#).

Professional development and support for faculty are provided by the [Faculty Professional Development Program](#) (FPDP), the [e-Learning Center](#), and the [Office of Curriculum, Learning Design and Academic Assessment](#). For example, FPDP organizes and presents offerings (new faculty orientation, learning communities, faculty-to-faculty mentoring) to engage faculty in focused conversations about designing teaching and learning experiences. In AY15-16, 51% of faculty attended at least one FPDP event/activity ([Faculty Professional Development Reports](#)). NAU hosts an annual institution-wide [Teaching Day](#) for faculty to come together to learn from and inspire each other to promote student learning with best practices. Teaching Day is also available online/synchronously for faculty across the state. In fall 2017, NAU will support 60 instructors' work toward a national [Certificate in Effective College Instruction](#).

Given that some faculty members are not able to attend events in Flagstaff due to distance or conflicting priorities, NAU offers a variety of electronic resources including topical webinars, electronic journals about teaching, the Monday Morning Mentor weekly professional development webcasts, a compendium of important articles about teaching and learning, and on-demand video resources on teaching-related topics. Also, in 2016 the FPDP conducted four day-long teaching seminars across the state for faculty members serving students attending classes at community campuses across the state and online.

3.C.5. NAU has two approaches to ensure instructors are accessible for student inquiry. As indicated in NAU's [Faculty Handbook](#) (Section 4.1), faculty must post and maintain specific office hours that afford students opportunities to acquire assistance and counsel. In addition, the [University Policy Regarding Syllabi](#) requires that all class syllabi indicate methods for students to contact and engage with faculty, regardless of mode of instruction. (See [Federal Compliance Report Question 47](#) for an overview of student-faculty interactions within NAU's Personalized Learning program.)

3.C.6. NAU's Human Resources office provides [standards and guidelines](#) to help ensure that student support staff members are appropriately qualified in alignment with published responsibilities and defined job categories.

Student support offices offer professional development training to ensure staff are well trained, supported, and engaged in ongoing training, conferences, and professional organizations. An excellent example of this can be found in the Office of Scholarships and Financial Aid (OSFA), which uses the "train-the-trainer" approach when sending staff to federal, regional, and state training conferences to learn general regulatory topics and receive instruction in focused areas. Attendees update other staff members on pertinent topics from the conference. Additionally, OSFA's training coordinator ensures new staff members participate in an internal new-hire training program relevant to their positions, schedules regular office-wide trainings based on seasonal activities, researches and arranges online- and webinar-style trainings through

professional financial aid organizations, and works in conjunction with the outreach coordinator to train non-OSFA staff on general financial aid information. Other offices use similar approaches to ensure employees are up to date in area-specific training initiatives.

In addition to area-specific training, Human Resources offers professional development and training opportunities to help staff members enhance and expand skills, develop professionally, and engage in developing a positive organizational culture at the university. [Example training opportunities include](#) the [Supervisors Academy](#) and the [University Leadership Program](#).

All Classified Staff and Service Professionals go through an [annual performance appraisal process](#), through which supervisors evaluate their progress and work over the previous year and establish goals for the coming year. Each year, President's Achievement Awards are given to select classified staff and service professionals to recognize [outstanding performance](#).

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3.D - Core Component 3.D

The institution provides support for student learning and effective teaching.

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

Argument

3.D.1. NAU provides a wide range of student support services to meet students' needs. Students in distance-delivered programs can access these services electronically. This section discusses general student support services provided at NAU. (See Criterion 3.D.3. for advising services and 4.C.3. for retention-related services.)

The NSSE 2015 Campus Environment Engagement Indicators for [first-year students'](#) and [seniors'](#) show that NAU engages and supports students comparably to ABOR and Carnegie peers. NAU meets or exceeds the Carnegie peer average for every indicator of supportive environment for first-year students, including the provision of learning support services, social involvement, recreation, health care, and counseling.

[NAU Career Development](#) helps students to prepare for their future careers by providing skill-building opportunities and career-related services.

[The Office of Student Life](#) offers students help in understanding academic policies and provides student organization registration support, childcare support, and Parent and Family Services. More than 375 student clubs and organizations help develop leadership skills and engage students in meaningful activities with their peers.

[Inclusion & Multicultural Student Services](#) (IMSS) creates and fosters an all-inclusive university community that cultivates a safe and welcoming environment for under-represented student populations. IMSS promotes academic and personal growth through mentoring, multicultural and LGBTQA programs, and university-wide initiatives.

[First Generation Programs and Services](#) offers a variety of resources for first generation students including summer “bridge” programs; peer mentoring, First Scholars, Lumberjack Leaders Institute, and Louie’s Cupboard.

[Counseling Services](#) enhances the psychological growth, emotional well-being, and learning potential of NAU students. Approximately 1,800 unique students visited in AY14-15.

[Medical Services](#) promotes wellness and provides health services through urgent care, chronic care, psychiatric mental health, nutrition, massage, nursing services, allergy clinic, immunizations, physical therapy, and a full-service pharmacy. In AY14-15, 9,709 unique students were served. In addition, NAU had 17,174 in-person health education contacts, including educational presentations, large-scale awareness activities, health fairs, health screenings, and tabling events.

[Veterans Success Center](#) provides all student veterans and military-connected members with academic and financial resources and a place to relax, interact, and study. The center’s staff partners with other support units to improve the success and experience for veterans. In 2016, The [W. A. Franke College of Business ranked 10th in the nation](#) for veteran students according to Military Times.

[Native American Student Services](#) (NASS) supports all students but is focused on Native American and Alaskan Native students by offering peer mentoring, cultural and social support, and course offerings with Native-culture topics. [NASS Connections participants’](#) retention to the second year was 25.1% higher than the matched non-participants’ retention to the second year (statistically different, $p = 0.04$, $OR = 4.22$). NASS Connections’ first-semester GPA was 0.62 points higher than the matched non-participants’ calculated first-semester GPA (statistically different, $p < 0.01$, Cohen’s $d = 0.49$).

In recognition of the variations in the linguistic and academic backgrounds of the predominately first-generation Hispanic students at NAU-Yuma, faculty have tailored advising, mentoring, and language and content support services to the needs of these students. The Academic English Language Development Committee consists of English as a Second Language (ESL) and Applied Linguistic faculty, administrators, and support staff from NAU-Yuma and Arizona Western College (AWC). This committee meets several times during the semester to 1) analyze the language needs of current second language students, 2) create a bridge between AWC ESL courses and the NAU tutoring and support system, and 3) suggest assessment and intervention practices to better serve second language learners.

The [First Year Learning Initiative](#) (FYLI) is a unique, locally-developed, and faculty-driven program for building academic success. Courses can be FYLI-certified if course coordinators collaboratively reshape their courses to focus on socializing students for excellence, active pedagogy, and intentional coordination. FYLI is based on the fact that students need – and want – high standards in their lower-division coursework. To be successful, students need support, guidance, highly engaging pedagogy, and clear, frequent feedback. There are currently over 75 FYLI-certified courses, including many of the highest-enrollment, highest-impact gateway

courses at NAU. Typically, over 97% of first year students are enrolled in at least one FYLI course.

[The Graduate College](#) supplies graduate students with numerous recurring professional development opportunities and student support services. These include, but are not limited to, writing workshops for thesis and dissertation students, responsible conduct in research training, job market skills, financial skills for graduate students, and applying for and entering graduate school tutorials.

3.D.2. Orientation and academic advising provide learning support and preparatory instruction to address the academic needs of NAU's students and assist their transition to NAU, whether as a first-year, transfer, distance, international, or graduate student. Tailored orientation sessions and personalized advising sessions direct entering students to courses and programs for which the students are adequately prepared and provide students with tools for success. Examples of tools include [four year progression plans](#), [Jacks Path](#), [Jacks Planner](#), degree requirements and related career options in the [academic catalog](#), and academic advising [yearly to-do lists](#).

Student Orientation

More than 90% of incoming first-year students and 66% of transfer students participate in [Student Orientation](#). New, incoming students complete a [Priority Enrollment profile](#), which guides academic advisors to enroll them in an efficient manner in classes the students want and need for degree progress. Students in distance-delivered programs attend online orientation and are assigned an academic advisor who specializes in online programs.

Student one-on-one meetings with advisors are guided by the [First Year Academic Advising Learning Outcomes](#) to ensure that the advisor meets student needs at current and future appointments.

The Center for International Education requires international students to attend [international orientation sessions](#) beginning one week before the start of every semester.

Graduate students participate in [university-level orientation sessions](#) and department-level orientation sessions in the fall semester. In addition, new graduate students are provided monthly webinars with resources to acclimate them to graduate student life at NAU.

Placement and Learning Support

Prior to meeting with an advisor, undergraduate students take mathematics and writing placement exams. Academic advisors evaluate their academic profile, and when they meet with students, advisors match students to potential academic support programs and developmental courses, as appropriate.

For [writing placement](#), low-scoring students are required to co-enroll in ENG 107, a one-unit, individualized support course, and English 105, NAU's freshman composition course. Compared to previous prerequisite developmental writing approaches at NAU, the co-requisite model

improved ENG 105 completion rates by an average of 41.8%. The ENG 107 Writing Program is making its biggest impact on the students who place in the 2.50 – 2.99 core HS GPA band. (See [Assessment analysis](#).)

Incoming freshmen whose mathematics placement is lower than the expected starting point for their selected major are guided by their advisor to engage in the [Peak Performance Mathematics Summer Bridge](#) program, a free online, award-winning math program. In summer 2015, the Peak Performance program served 17.0% (n = 372) of eligible students with 168 students (45.2%) completing the program by taking a posttest. [Assessment](#) revealed that Peak participants improved their math placement scores by 18.6 points (statistically different, $p < .05$, Cohen's $d = 2.02$) with 93.2% of participants who completed the program meeting the minimum math requirements for their declared major. This program was awarded a \$100,000 prize as part of the [Online Learning Consortium's Institutional Award](#) for advancing student success through the adoption of digital courseware.

Additionally, to facilitate student success, the Department of Mathematics and Statistics recently redesigned four of its first-year mathematics courses by providing preparatory instruction in the [Lumberjack Mathematics Center](#) (LMC), an emporium-style environment. These courses combine in-class instruction with lab time in the LMC, where students have access to valuable resources, including instructors and math tutors.

Advisors also direct students to a variety of other learning resources tailored to address student needs. Highlighted below are a few such programs:

[Academic Transition Programs](#) offers comprehensive first-year programming developed to connect students with academic and campus resources to cultivate study strategies; test-taking strategies; and time-management, career exploration, and help-seeking behaviors. (See Criterion 5.C.2. for assessment findings.)

[The University Writing Commons](#) provides resources and individualized instruction to master the development, adaptation, and improvement of writing, research, design, and presentation inside and outside of the classroom.

The [Supplemental Instruction](#) (SI) program provides a series of peer facilitated weekly review sessions for students taking historically challenging courses. [Assessment](#) reveals that at the discipline level, SI participants had statistically higher course grade averages and statistically lower DFW rates compared to match non-participants for all six disciplines.

[Academic Success Centers](#) provide personalized peer support and resources to build academic confidence and cultivate independent learning. One-on-one, drop-in, and online tutoring is offered for over 100 courses at centers on north and south campus. These services also support students in our distance-delivered courses and programs. The Math Achievement Program provides drop-in tutoring for upper level math courses and serves as a place to build community around math and statistics. Consultations also support the development of academic success skills such as time management, test-taking/anxiety, and strategies for reading, writing, and note-taking.

3.D.3.

Undergraduate Academic Advising

NAU actively works to provide academic advising suited to its programs and the needs of its students. Based on findings from the Graduating Senior Satisfaction Survey in AY14-15 (See Criterion 4.A.6.), NAU has been working to restructure and re-conceptualize academic advising services. Relatedly in 2015, [NAU was awarded](#) nearly \$225,000 from EDUCAUSE for “Integrated Planning and Advising for Student Success” (iPASS). The goal of this grant is to elevate academic advising and mentoring by uniting student history, advising notes, faculty alerts, and other information into a single user-friendly platform. To that end, implementation of Salesforce, a customer relations management software, is well underway. Legacy record systems were discontinued and all academic advising and student affairs staff began using Salesforce as the platform of record in September, 2016.

In addition, NAU is contracting with Civitas Learning to enhance institutional capacity both to identify patterns of student non-persistence and to intervene and mitigate student departure. The goals are to allow academic advisors and mentors to focus their time on the students who need it most, while also providing tools for intervention that efficiently direct students to appropriate support services.

In June of 2016, an Executive Director for Academic Advising was hired to provide central leadership for undergraduate academic advising (residential and distance students) and to automate processes and procedures, as appropriate. The goal is to provide the same high quality advising for students as they progress from first year advising to college advising, from one degree plan to another, or even from one campus to another ([March 2017 status update](#)). Advising services provided to statewide and online students are tailored to student needs, as many adult students have life and employment situations that necessitate distinct enrollment patterns (part-time), pace of completion, and service availability.

Coordination is particularly important as students’ transition from the [Gateway Student Success Center](#), which serves first-year students and undeclared majors to college-specific advising centers. In their first year, students are required to attend advising three times (orientation, fall semester, and spring semester). Once students declare a major, they receive subsequent advising services from their specific college’s advising center (students are encouraged to declare a major by the end of their third semester at the latest).

Graduate Academic Advising

Graduate students get individual attention and a program of study that is focused on the student’s research agenda, area of scholarly inquiry, creative activity, and/or professional career aspirations. The Graduate College and full-time staff advisors provide advising for most programs that are delivered online and at statewide campuses ensuring students register for courses needed to successfully complete their degree. For thesis and dissertation students, graduate academic advising is often provided by faculty advisors who serve as mentors.

3.D.4. Annually, NAU reviews the infrastructure and resources necessary to support effective teaching and learning through the [Capital Improvement Plan that is submitted to ABOR](#). Academic units' infrastructure and resources are also evaluated as part of the Academic Program Review/Specialized Accreditation process. Based on these processes, NAU ensures that technological infrastructure, libraries, collections and archives, performance arts facilities, scientific laboratories, and clinical practice sites are provided to support NAU's teaching, research, and scholarly and creative goals.

A Blackboard Learn course shell is provided for all courses, including face-to-face, blended, and online courses. The [e-Learning Center](#) provides training and support for faculty on Blackboard Learn and offers a range of [third party electronic tools](#) that are available to enhance students' learning.

Supported by NAU's centralized Information Technology Services, general assignment classrooms are equipped with technology to support teaching needs. To meet specialized learning opportunity needs, additional facilities include computer labs, student collaborative spaces, conference rooms, labs, seminar spaces, recording classrooms/studios with presentation equipment, multimedia production studios, and an assistive technology studio. An advanced technology, 70-seat Learning Studio in Cline Library increases engagement and learning for students while supporting "flipped classroom" and other active learning methods for faculty. (See [Learning Studio assessment report](#).)

Cline Library is an academic administrative unit that serves the entire institution with a \$6.4 million budget and 56 employees, plus approximately 60 student employees during the academic year. Cline Library has more than 1.2 million volumes, including some 570,000 print book and 6,000 print serial titles and provides access to more than 232,000 e-books, 141 databases, 94,000 e-journals and newspapers, 80,000 streaming videos, and 132,000 streamed sound recordings. The Cline Library also houses an innovative Maker Lab, which includes the first MakerBot Innovation Center in the West, an array of 20 3D printers, plus tools and components for creating your own electronic devices.

Fine and Performing Arts facilities, research labs and services, and clinical/health professions sites are used broadly for student learning and classes. NAU's commitment to providing the university community and the northern Arizona region with fine and performing arts is realized in a variety of venues, including Ardrey Memorial Auditorium, Ashurst Hall, Prochnow Auditorium, Clifford White Theatre, NAU Art Museum, and the Beasley Gallery. [Research labs and collections, archives, and museums](#) support NAU's research mission. Clinical students in Nursing and other health programs use well-equipped, cutting-edge training facilities for their practical training. Dental Hygiene students have access to training facilities in the campus clinic. Additionally, the [Phoenix Biomedical Campus](#) has facilities for Physical Therapy, Physician Assistant, Occupational Therapy, and Athletic Training students to practice their skills prior to placement at professional clinical sites.

NAU has several Leadership in Energy and Environmental Design (LEED) certified buildings on the [Flagstaff campus](#), including the [award-winning International Pavilion](#), an events center and

home for NAU's International House, as well as the [Science and Health Building](#) that provides teaching and learning spaces.

3.D.5.

Research and Information Resources

NAU provides students with guidance in the effective use of research and information resources through a variety of opportunities, including curriculum offerings, online tools, and information services.

[An analysis](#) of NAU undergraduate degree program student learning outcomes found that more than 60% of NAU's undergraduate programs explicitly teach information literacy as an essential learning outcome.

Cline Library provides comprehensive services regarding the effective use of research and information resources. Questions can be immediately addressed in person at the library, or by using online chat, email, or phone. [Library Do It Yourself \(DIY\) Guides](#) provide information on effective research strategies, from choosing a topic to citing sources. Librarians collaborate with faculty to develop course- and subject-specific research guides for more targeted information, as well as to develop assignments that engage students with creative information literacy and critical thinking activities. Subject librarians assist individuals and groups of students or faculty with the broad spectrum of research-related topics and questions.

The Graduate College provides information and training for NAU students engaged in research. In collaboration with the Office of Research, [Responsible Conduct of Research](#) - Collaborative Institutional Training Initiatives (CITI) modules are available.

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3.E - Core Component 3.E

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

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

Argument

3.E.1. Recognizing the needs of its student population, NAU offers a broad array of co-curricular programs that enhance students' academic experiences. Under the leadership of the Enrollment Management and Student Affairs division, NAU enriches its academic environment through co-curricular activities delivered in a variety of ways, some previously highlighted in 3.D.1. and 3.D.2. [EMSA's Divisional Report](#) provides details that support the breadth of offerings, student usage and participation, and impacts of these programs.

NAU gives students diverse opportunities to gain experience, meet new people, and get involved with more than 375 [student organizations](#) in various categories: academic (by college), Fraternity and Sorority Life, honor societies, multicultural, military, media, music and performing arts, political, and religious or spiritual.

[Residential Learning Communities \(RLCs\)](#) are where students reside with others who share an academic major or special interests and participate in activities organized by their learning community. These activities build strong connections among students, faculty, and staff and have been shown to lead to higher student retention at the university. In fall 2016, 20.5% of the full time freshman cohort (all campuses) resided in RLCs. In an analysis of the [fall 2015 cohort](#), the retention rate for students who participated in the RLCs was 3.4% higher than the matched group (statistically different, $p = 0.06$, $OR = 1.21$).

[Campus Recreation Services](#) provides recreational and experiential education and innovative programs, such as fitness classes, aquatics, a climbing gym, challenge courses, and outdoor adventures across Arizona that foster lasting healthy lifestyles.

[Student leadership initiatives](#) allow students to work to improve their leadership skills in programs such as The Edge (for first-year students), leadership workshops, Collegetown (to learn about social justice issues), and community service opportunities.

Colleges sponsor events that capitalize on their disciplinary strengths to promote engagement outside of the classroom. For example, the College of Arts & Letters [International Film Series](#) presents films in foreign languages; the [Horizons Concert Series](#) hosts diverse, internationally-inspired artists; and NAU Theatre presents stage productions from theatre students and faculty.

Statewide students can participate in co-curricular activities at the host community colleges and become involved in joint student organizations, civic projects, and club sports.

3.E.2. NAU is committed to providing students with enhanced learning opportunities through community engagement, service-learning, and research opportunities. For example, [First Year Seminar - Action Learning Team](#) classes provide community-based learning opportunities and close interactions with faculty, graduate assistants, peer facilitators, and students as well as opportunities to apply what they have learned in class. In AY16-17 there were 15 different Action Learning Teams where approximately 1,000 undergraduates participated in the areas of social, environmental, and economic justice projects both on and off the Flagstaff campus with the guidance of faculty and graduate assistants.

The [Civic Service Institute](#) offers many volunteer opportunities for students, seniors, and other community members.

As a research intensive university, NAU gives students avenues to engage in research and creative activities at the undergraduate and graduate level. (See Criterion 3.B.5.)

Within overall efforts for student success, NAU has placed an emphasis on ensuring the success of Native American students. The Native American Cultural Center helps students stay connected to their identity and traditions. The Center houses both the long-standing office of Native American Student Services and the newly formed Office of Native American Initiatives that work together to strengthen partnerships with tribal communities and tribal colleges around the state and to better recruit and retain Native American students. NAU continues to invest in educational opportunities of special interest to Native American students such as the newly developed certificate program in Indigenous and tribal nation building and leadership training for current and future tribal leaders.

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3.S - Criterion 3 - Summary

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

Summary

Northern Arizona University provides high quality education, wherever and however its offerings are delivered. NAU prides itself on providing outstanding education that prepares graduates for successful careers and lives. The university achieves this by hiring high-quality faculty and staff, establishing consistent quality standards for all academic programs as expressed through the DPEs, providing relevant general education courses, and offering faculty development programs.

NAU provides a rich community of services and educational support to its students. Through holistic advising and a range of integrated curricular and co-curricular activities, students have opportunities to incorporate a range of experiences into their academic goals, such as research, internships, and study abroad.

Sources

There are no sources.

4 - Teaching and Learning: Evaluation and Improvement

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

4.A - Core Component 4.A

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

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

Argument

4.A.1. ABOR policy ([2.225](#)) requires Northern Arizona University (NAU) to maintain a practice of Academic Program Review (APR) every seven years to ensure programs are relevant and maintain their high quality. [Specialized accreditation](#) (SA) processes can be used to satisfy this requirement if the review meets all of the criteria established by ABOR and NAU. Academic Program Reviews provide information the university uses to strengthen and improve academic programs, ensure effective use of state resources, and develop university and system-wide planning. These reviews are closely connected to strategic planning, resource allocation, and decision-making. Distance-delivered programs follow the same procedures and are held to the same standards to ensure that the curricula for online learning offerings are cohesive, coherent, and comparable in academic rigor to programs offered in traditional formats.

The Office of the Vice Provost for Academic Affairs provides coordination, guidance, and accountability to ensure that reviews are conducted as expected by policy; the office maintains a [schedule of reviews by college](#) and provides a [summary report](#) of each review to ABOR.

NAU recently bolstered the APR process with a structured set of [guidelines](#) for faculty that include focused questions for faculty discussion, uniform data reports, and an APR template. The enhanced process provides a larger role for faculty peer review and increased transparency of individual programs' strengths and areas for improvement, which will serve to "raise the bar" for all NAU programs. Key aspects of the revised APR process are included in the [attached timeline](#). Using the provided APR [template](#), academic units document how well they have achieved and maintained the Degree Program Expectations (DPEs) related to curriculum design and assessment; resources used to support the departmental mission, including faculty and staff; research, scholarship, and/or creative activities; degree productivity; evaluation of the unit's future plans; performance in hiring diverse faculty and staff; performance in recruiting and retaining students from underrepresented groups; and adequacy of physical and fiscal resources. (See the [Department of Psychological Sciences self-study](#).)

External reviewers (selected by the academic unit and approved by the provost), NAU faculty on Senate-charged curriculum and assessment committees, and NAU administration (provost's office and dean) review the APR report and provide feedback, insights, and observations to the academic unit. [APR/SA Reviewer's Forms](#) are used to ensure consistent high standards. The feedback informs the unit-level action plan (See pages 4-6 for a [summary of the action plan](#).) that addresses all aspects of the APR and [degree-program-level curriculum and assessment action plans](#).

At the midpoint of each seven-year review cycle, programs submit to the provost's office an internal report plan that outlines progress on all items included in the academic unit-level action plan and curriculum and assessment action plans, any major changes within the program, etc. (See [Psychology's Mid-Point Report](#).)

Academic Program Review, action planning, and annual reporting processes are interconnected. Each spring semester, academic units document their annual curriculum and assessment efforts, identify actions to take the following year, and designate responsible parties and timelines for completing those actions. [College Curriculum and Assessment Committees](#) review programs' annual curriculum and assessment efforts and programs' Mid-Point Reviews to ensure adequate progress toward achieving and maintaining the DPEs.

To facilitate this new process, each academic unit created realistic degree-program-level curriculum and assessment action plans that are stored in a [shared drive SharePoint Archive](#) accessible to all faculty and administrators. These plans became the basis for annual reporting in AY16-17 and are designed to incorporate curriculum and assessment goals that programs need to achieve for their next Mid-Point Review, Academic Program Review, or Specialized Accreditation.

4.A.2. and 4.A.3. NAU's transfer policies and procedures assure the quality of the transfer credit, including what is awarded for experiential learning or other forms of prior learning.

Transfer Process and Policy

NAU has established transfer policies (Policies [100224](#) and [100336](#)) to ensure that all transfer credit posted to a student's academic record has been properly evaluated. The Transfer Credit and Credit by Exam Policy also specifies the types of transfer credit that NAU accepts, including ACE Alternative Course Credit, Military, and Credit by Exam. Undergraduate credits from regionally accredited four-year institutions are accepted on a credit-unit-for-credit-unit basis (adjusted for semester/quarter terms) for college-level courses with grades of "P" (credit awarded), "C," 2.0, or better. The university accepts up to 64 transfer credits from a combination of regionally accredited two-year institutions and the American Council on Education (ACE) Alternative Credit Project™. NAU documents ABOR-approved [transfer articulation agreements for specific degree programs that accept more than](#) 64 units from two-year colleges.

Transcripts are reviewed to determine the number of units accepted and how they will apply toward satisfying Liberal Studies, diversity, major, minor, and/or certificate requirements. Trained professional staff in the Office of Undergraduate Admissions and Orientation provide initial evaluation of transfer credits, using guidelines established by academic units. Course equivalencies are based on the alignment of learning outcomes. Courses that do not have a direct equivalency with a NAU course are coded as transfer courses at the appropriate level (e.g., 100 level, 200 level), and are then submitted for in-depth review by specific academic units to determine transferability.

NAU participates in [AZTransfer](#), a statewide collective of Arizona's public and tribal community colleges and universities established to ensure a seamless transition to Arizona public universities without loss of credit. University and community college faculty members serving on discipline-specific Articulation Task Forces evaluate courses to ensure that expectations of content and rigor are equivalent. Equivalencies are published in the [Course Equivalency Guide](#) and provide the foundation for [JacksPath](#), a web application that assists prospective Arizona community college transfer students with a seamless transition to earn their bachelor degree from NAU.

In addition to course-level transfer, NAU has block transfer articulation agreements, such as the [Arizona General Education Curriculum](#) (AGEC), a 35 – 37 semester-credit general education certificate that fulfills NAU's Liberal Studies Program requirements.

Consistent with NAU's strategic goals of increasing educational access and affordability, the institution was a founding participant in the [American Council of Education Alternative Credit Project](#)™. NAU ensured quality of transfer courses by implementing a rigorous, multi-tiered review process. Following the ACE review and recommendation process, NAU's e-Learning Center's instructional design team reviewed courses from each provider to confirm that they used high-quality, online course design principles consistent with NAU courses. Then, NAU faculty evaluated the ACE-recommended courses to determine transfer articulations.

Per the Graduate College Transfer Credit policy ([100336](#)), graduate transfer credits are evaluated by trained graduate college staff and approved by the Associate Dean of the Graduate College in collaboration with faculty and department chairs.

4.A.4. As documented in the [Faculty Senate Bylaws](#), faculty members have the primary responsibility for determining and assuring the quality of courses and programs at NAU. Faculty review is the centerpiece of NAU's curriculum review process and is guided by specific indicators of quality defined by NAU faculty - [DPEs](#). Through the review of curriculum (See Criterion 3.A.1.), faculty members actively exercise authority over the prerequisites for courses, rigor of courses, and expectations for student learning.

Consistent with NAU's [Required Qualifications for Instructional Faculty policy](#), academic unit leaders ensure that faculty are qualified to teach assigned courses. Academic units ensure that courses are taught in a manner that aligns with the learning outcomes and course purposes developed and implemented by the faculty members in the academic unit. The [University Policy Regarding Syllabi](#) requires academic units to maintain syllabi for all courses and that all syllabi contain the elements of the syllabus template, the purpose, and a set of learning outcomes that are consistent whenever and however the course is taught. Academic units are working toward the goal of having all syllabi adhere to the new syllabus template.

NAU provides support for faculty to design courses and degree programs that achieve the curriculum design requirements and incorporate strong assessment at the course and program level. Staff in the [Office of Curriculum, Learning Design, and Academic Assessment](#) consult with faculty and academic unit leaders to design degree programs and ensure alignment of learning outcomes to course design. Course design and support for online, face-to-face, and multiple-modality courses is provided through consultation with the [e-Learning Center's instructional designers](#). The [Faculty Professional Development](#) Program provides programming for institution-wide and unit-specific initiatives to improve teaching practices.

NAU does not offer dual-credit courses within high schools.

4.A.5. NAU documents [specialized accreditations in the academic catalog](#). For example, the Accreditation Board for Engineering and Technology (ABET) accredits 12 programs in the College of Engineering, Forestry, and Natural Sciences and the Association to Advance Collegiate Schools of Business (AACSB) accredits the W. A. Franke College of Business. NAU is proud to be the first institute of higher education in Arizona to attain accreditation from the Council for the Accreditation of Educator Preparation (CAEP). Generally, academic programs are expected to pursue accreditation if an appropriate accrediting agency exists.

4.A.6. NAU engages in multiple approaches to evaluate the success of graduates, including the Graduating Senior Survey, Alumni Surveys, and use of National Student Clearinghouse data. Sample findings from the [Graduating Senior Survey](#) (2014), that had 3,600-plus respondents and a participation rate of nearly 75%, include:

- 92% rated their NAU experience as “excellent” or “good”.
- Nearly 88% of respondents felt the university required them to “think critically and analytically” (rating of “quite a bit” or “very much”).
- Nearly half of graduates participated in an internship or professional practicum. Most of them rated that learning experience as “highly” valuable.

- Student responses were overwhelmingly positive in regard to faculty and their overall NAU experience; however, student responses about academic advising were negative. (See Criterion 3.D.3. to review NAU's continuous improvement initiatives related to advising.)

Since its inception, the Peace Corps has selected over 688 NAU alumni to serve, with an average of 27 volunteers per year for the last five years.

[Licensure rates](#) from AY15-16 show NAU students' strong performance on licensure exams.

NAU [Career Development](#) provides a broad range of career development and job search services for students. Working with faculty, Career Development helps students realize how their degree or certificate programs prepare them for advanced study or employment. Every degree plan in the academic catalog includes [career information](#) and articulates degree program student learning outcomes to help students connect their education with career options.

NAU Career Development partners with the Graduate College and graduate programs to offer a series of professional development workshops each semester that cater to aspects of career preparation, preparing graduate students for success in the job market. Some of these workshops are on resume/cover letter writing, job search strategies, and mock interviews.

Employment data

Efforts are underway to improve collection of employment data for NAU graduates. Launched in May 2016, the inaugural enterprise-wide [NAU First Destination Survey](#) targeted recent graduates; however, the response rate was only 5%. To address low response rates for the First Destination Survey and all surveys, NAU formed a Survey Project Team charged with establishing a university-wide survey calendar, defining survey-related business processes and policies, and improving survey coordination and communication.

Below are some exemplar data regarding the success of NAU graduates in the job market. Per ABOR's [2016 Annual Report on Wages Earned by Arizona University System Graduates data](#) for 2015 graduates, 80.9% of NAU resident undergraduates who earned bachelor's degrees and 81.6% of resident graduate students were employed in Arizona in 2015.

With a 96% response rate from May 2015 graduates of the W.A. Franke College of Business, 86% were "satisfactorily engaged" in a full-time position, part-time internship, military, or enrolled in graduate school.

Employment rates for graduates from physicians' assistant, physical therapy, and clinical speech-language pathology are above 95%.

At the 2015 Career Fair, NAU Professional Education Programs collected data through focus group interviews regarding preparation of NAU student teachers and graduates. Highlights include:

- Elementary principals stated that NAU graduates from AY14-15 ranked higher than other university graduates on their hiring rubric.
- One district mentioned that approximately 90% of the NAU candidates who had a student teaching placement in their schools were hired. Another mentioned that 90% of their new hires are NAU graduates.
- Multiple districts noted that NAU graduates hired into their district had impressive knowledge and strong lesson planning skills.

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4.B - Core Component 4.B

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

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

Argument

4.B.1., 4.B.2., and 4.B.3. NAU demonstrates a commitment to educational achievement and improvement through ongoing assessment of student learning in degree programs, the Liberal Studies Program, and co-curricular programs.

NAU Degree Programs' Commitment to Assessment and Continuous Improvement

At the time of NAU's last re-accreditation, faculty and administrators were engaged in an assessment planning and reporting process that looked promising. Strengths of the process included: 1) faculty peer-review of assessment plans and reports using faculty-developed reviewer's rubrics, 2) faculty participation and ownership of student learning assessments specific to their degree programs, and 3) recognition of degree programs engaged in excellent assessment with awards and letters of commendation. These strengths led to NAU's receipt of the [2009 CHEA Award](#) for institutional efforts to gather information on student learning outcomes and use this information for institutional improvement and public accountability.

In the years following receipt of that prestigious award, the University Assessment Committee and Office of Academic Assessment recognized that changes were needed due to striking differences between programs with strong versus weak cultures of curriculum design and assessment ([Report on Assessment Reports](#)). The programs that consistently engaged in assessment and reporting demonstrated clear strengths in student learning and the ability to demonstrate program quality. Particularly, these programs engaged in intentional design, aligning the purpose and outcomes of the degree to the design of its courses; and meaningful assessment of students' achievement of program learning outcomes, allowing assessment results to be used to improve course and degree program design.

Subsequently, NAU faculty and academic staff explored how to obtain and document uniformly high-quality curriculum design and assessment practices across all degree programs. These efforts were realized in 2014 with a Faculty Senate-approved set of DPEs. (See Criterion 3.A.)

The DPEs are NAU's clearly stated goals for curriculum design and academic assessment. All academic programs at NAU, regardless of location or modality, are required to demonstrate achievement of the following:

- Clearly stated goals for student learning, through:
 - Degree Program Purpose statement (summarizes the scope of the program, the content studied, the skills developed, the learning experiences provided, and the future opportunities for which it prepares students); and
 - Degree Program Student Learning Outcomes (explicit, learning-centered, align with the degree program purpose, and are appropriate to the level of the degree offered).
- Effective processes for achievement of learning goals, through:
 - intentionally designed curriculum and documented in a [curriculum map/matrix](#), and
 - strategically designed courses that provide learning opportunities and assignments designed to achieve the course's purpose and learning outcomes.
- Effective processes for assessment of student learning, which are documented as part of academic unit's realistic [curriculum and assessment action plans](#).
- [Assessment of the achievement of the learning outcomes](#), by assessing all broad degree program learning outcomes toward or at the end of the student's program of study at least once between Academic Program Reviews.
- Use of the information gained from assessment to improve student learning, through at least one of the following for each broad learning outcome:
 - Improvement of course and/or curriculum design,
 - Improvement of assessment methods,
 - Dissemination of student learning strengths.

Since 2014 when the Faculty Senate approved the DPEs, intense continual improvement efforts have been underway. Building on the collective conversations among faculty members in academic units to develop explicit degree program purpose statements and learning outcomes, faculty members are revising courses and requirements to achieve the learning outcomes and purposes. Additionally, faculty have created curriculum maps—visual representations of how a degree program's learning outcomes are connected to course requirements. Curriculum mapping helps faculty develop useful and meaningful assessment questions; tie assessment findings back to curriculum and learning design; and develop feasible, manageable assessment design providing meaningful information that is used to improve student learning.

NAU specifically requested and directed units to complete the three critical steps of curriculum design prior to conducting assessment, even if assessment efforts were scheduled. The [Report on Assessment Reports](#) showed that when faculty engage in assessment that is not meaningfully structured to inform the program's curriculum design (e.g., the findings are not useful or meaningful), faculty will not continue assessment efforts. The time and effort that went into the foundational curriculum design work will enhance the long-term sustainability of assessment endeavors at NAU by ensuring meaningful assessment of well-articulated learning outcomes and a clear connection between curriculum design and assessment. Structuring the Academic Program Review process around the DPEs will help close the curriculum design and assessment

practices gap between the programs that have specialized accreditation and non-accredited programs.

A [semi-annual dashboard report](#) documents programs' achievement of the DPEs. NAU is working towards making all assessment and curriculum endeavors transparent, as defined by the National Institute for Learning Outcomes Assessment Transparency Framework. Degree program learning outcomes and purpose statements are posted in the Academic Catalog. As part of the institution-wide website project, summaries of academic unit's assessment plans, evidence of student learning and use of evidence for continuous improvement will also be housed in the academic catalog and academic unit's departmental website. In the meantime, Curriculum Maps, Systematic Assessment of Learning Outcomes plans and findings, and descriptions of Continuous Improvement efforts are stored in a [SharePoint Archive](#) that all NAU faculty and staff can access. Additionally, Academic Program Review/Specialized Accreditation documentation are stored in the [archive](#) as well.

In AY15-16 the Liberal Studies Committee, with support from the Faculty Senate, required all degree programs to "[refresh](#)" their Capstone courses because many had "drifted" from the requirement's original purpose—to intentionally integrate undergraduate students' disciplinary and Liberal Studies experiences through a culminating experience in the major. After recent, in-depth reflection on degree program outcomes and curricular mapping, most programs were in a strong position to revise their Capstone courses. Faculty were encouraged to clearly identify which aspects of the culminating experience and additional assignments would fulfill assessment obligations for the degree program and ensure faculty members teaching the courses implement assignments and understand their importance to degree program and Liberal Studies assessment.

As of May 2017, approximately half of the Capstone courses have been refreshed (remaining are in process) to intentionally integrate undergraduate students' disciplinary and Liberal Studies experiences through a culminating experience in the major, thus providing rich opportunities to collect meaningful student-learning assessment data for degree programs and Liberal Studies. Within the next year, NAU expects to have evidence that most, if not all, programs are engaging in meaningful assessment following the intentional design of their degree programs.

Faculty and administrators from NAU-Yuma developed and [assessed branch campus learning outcomes](#) as part of the HLC Assessment Academy from 2011 – 2014. With NAU's adoption of the DPEs, the focus of curriculum design and assessment efforts changed at Yuma to focus on developing and assessing degree-specific learning outcomes rather than broader branch campus learning outcomes. In spring of 2017, Yuma's academic units completed their first Curriculum & Assessment Action Plans, which outlines programs' expected transition to fulfill the degree-specific requirements in preparation for their next Academic Program Review/Specialized Accreditation. Current efforts at NAU-Yuma are focused on achieving and maintaining the DPEs.

Given the concentrated efforts at the undergraduate level, the achievement of the DPEs for graduate-level non-specialized accredited programs has [lagged behind](#). While most of the graduate programs have high-quality degree program student-learning outcomes, only a few have engaged in systematic assessment efforts. Efforts are underway, though due to the smaller size of

graduate programs, many units must collect data for several years to obtain enough data to conduct a valid review of the findings. In addition, the Graduate College developed a pilot program in AY15-16 to assess dissertation writing quality across departments, programs, and disciplines to facilitate the collection of direct assessment data. Assessment findings from the implementation of a [Dissertation Quality Survey](#) and coordination of anonymous reading and evaluation of dissertations published within the last five years, will inform curriculum redesigns and other continuous improvement efforts.

While structured differently than other degree programs, NAU's [Personalized Learning](#) competency-based degree programs also meet the DPEs. Grounded in the degree program purpose, the degree program student learning outcomes are the foundation for the competencies. Each competency is a broad learning objective that has a series of lessons with more specific objectives intended to target and support the learning of the competency ([Competency Mapping sample](#)). Each lesson begins with a clearly stated objective, and then all lesson materials support and address that outcome. Each lesson is divided into smaller topics. Each topic has a narrower objective that ties back to scaffold content to support the lesson's overall objective. Students complete a range of formative assessments within the lesson to demonstrate their learning and to help faculty to identify need for additional academic support. Personalized Learning faculty members interact with students extensively around assessments. Each submission receives personalized feedback and generates opportunities for one-on-one tutoring, as needed. Students' performance on the lessons serves as a summative assessment of their learning across the degree program. In this manner, the Personalized Learning program has developed clearly stated goals for student learning and effective processes for assessment of student learning.

Personalized Learning uses Learning Outcome Manager (LOM), an analytics repository, to house and track learning outcomes associated with each submission of student work (assignments, discussions, pretests, posttests, post-projects, journals, etc.). The LOM provides the opportunity for detailed analysis, including percentage range and statistical variance for gap analysis, summative and formative averages and composite comparisons against national averages, and competency-specific and topic-related analysis. Program assessment is comprehensive and integrated into the LOM management system, which guides continuous improvement efforts at the lesson and program level.

In Personalized Learning, programmatic competencies align directly to 3-credit hour NAU courses. The [dashboard](#) shows student progress using two different lenses: 1) the competency-based lessons and 2) the 3-credit hour NAU course. As students complete all of the learning modules associated with a single NAU course, the dashboard tracks their progress. When all lessons are completed, the 3-credit hour course is added to the student's transcripts. At graduation, students have an [official NAU transcript](#) showing their completion of 3-credit hour courses, as well as an [unofficial competency transcript](#) that shows the crosswalk between the courses and the associated competency-based lessons.

Liberal Studies Program Commitment to Assessment and Continuous Improvement

Consistent with a culture of continuous improvement efforts, NAU extended the concept of academic program reviews to the Liberal Studies Program. In AY10-11, NAU's Liberal Studies

program engaged in a year of self-reflection as individuals from across the institution and from the Liberal Studies Committee conducted a self-study of the program ([Liberal Studies Program: Self-Study](#)). The [Liberal Studies Program: External Reviewers' Report](#) provided a range of program recommendations, which were examined and prioritized into a strategic planning document. The most impactful recommendations have been implemented, including:

- Hiring a faculty member to serve as Director of Liberal Studies to oversee and act as the steward and advocate of the Liberal Studies Program
- Developing stronger purpose statements and student learning outcomes for the [Distribution Blocks and Essential Skills](#)
- Continuing to implement assessment approaches and using assessment for continuous improvement
- Examining Capstone and Junior Level Writing syllabi and ensuring course designs achieve the Liberal Studies aspects of the course's purpose ([Syllabus Analysis of Senior Capstone Courses](#))
- Implementing a cyclic process to ensure Distribution Blocks, Junior Level Writing, and Senior Capstone courses consistently achieve the learning outcomes and purpose established by the Liberal Studies Program. (See Criterion 4.B.1., 4.B.2., 4.B.3.)

NAU has a history of engaging in institution-wide assessment of Liberal Studies skills for continuous improvement. These efforts also meet obligations for affiliation with the [Voluntary System of Accountability Program](#)®. For example, in AY09-10, NAU administered the Collegiate Learning Assessment (CLA) to evaluate critical-thinking and written-communication skills. In AY11-12, NAU administered the Educational Testing Services Proficiency Profile (ETS-PP) to measure college-level general education skills, specifically critical thinking, reading, writing, and mathematics in the contexts of the natural sciences, social sciences, and humanities. In AY14-15, NAU administered the ETS-PP, applying the benchmark methodology to a statistically representative random sample of senior students.

Below are synthesized findings from these standardized assessments, as well as the National Survey of Student Engagement, the Faculty Survey of Student Engagement, and the Senior Survey ([Essential Skills: Analysis of Standardized Test and Survey Data](#)).

Writing Communication – Findings suggest that, of the five Liberal Studies essential skills, writing skills are the most in need of improvement throughout students' undergraduate experience. Both faculty and students report many writing activities in classes, though few faculty members report assigning a 20-page paper and about half of seniors report writing one. Writing skills are the lowest of those measured by the ETS-PP assessment, and the CLA showed only moderate differences in writing between freshmen and seniors. Writing skills are also below average compared to other institutions, and this ranking does not improve as students become seniors.

Quantitative Reasoning – NAU students' mathematical skills are just above average among similar institutions. However, the ETS-PP assessment shows that mathematical skills among NAU freshmen ranked at the 61st percentile compared to freshmen at other institutions. Seniors ranked at the 56th percentile compared to seniors at other institutions.

Scientific Inquiry - Findings suggest that scientific inquiry skills are moderately different for freshmen and seniors when compared to similar institutions. Natural science skills at NAU are average among institutions. Social science skills at NAU are above average compared to other institutions. Seniors perceive their skills to be moderate.

Critical Thinking – Student perception of their critical thinking is high for freshmen and seniors at NAU. The ETS-PP assessment shows critical thinking skills among NAU students to be just above average compared to students at other institutions. Further, the CLA shows no significant difference for students with freshman and senior status.

The following efforts are focused on improving quantitative and writing skills:

Four first-year mathematics courses combine in-class instruction with lab time in the [Lumberjack Mathematics Center](#), where students have access to valuable resources, including instructors and math tutors.

The [Interdisciplinary Writing Program](#) (IWP) helps faculty design writing assignments and approaches that develop strong foundations of learning. IWP is also facilitating conversations related to student writing experiences across the curriculum. Online students are served via video and audio consultations and synchronous online written feedback/discussions. IWP works closely with the [Writing Center](#), which assists students with individual tutoring and instruction on writing.

The Liberal Studies Program is collaborating with the Interdisciplinary Writing Program to ensure the essential skills align with promising practices in writing instruction. The Liberal Studies Program is planning to engage in a refresh of Junior Level Writing courses to include the intentional progression (or scaffolding) of student learning across degree programs.

Current institution-wide assessment efforts for Liberal Studies focus on using embedded, course-authentic assessments in Capstone courses in order to provide meaningful information to program faculty about student learning for continuous improvement efforts and to university administrators about the level of proficiency of NAU graduates. The Assessment Coordinator, collaborating with the Director of Liberal Studies, has incorporated best practices in student learning assessment design and implementation based on her experience as a Primary Mentor with the HLC Assessment Academy. In AY16-17, NAU piloted an assessment of the Liberal Studies Essential Skill of Effective Writing using the Association of American Colleges and Universities Valid Assessment of Learning in Undergraduate Education (AAC&U VALUE) rubrics in Capstone and First-Year Seminar classes to obtain a measure of students' performance in writing skills over the course of their NAU education. Preliminary findings for fall of 2016 have been analyzed and reported in a [Liberal Studies Effective Writing Report](#), and findings for spring of 2017 will be analyzed in summer of 2017. The [Liberal Studies Assessment Plan](#) outlines NAU's upcoming Effective Oral Communication and Critical Thinking assessment efforts.

NAU Co-Curricular Programs

Enrollment Management and Student Affairs (EMSA) achieves, maintains, and evaluates its resources and goals through the application of assessment and continuous improvement metrics tailored to each area's and program's specific focus. EMSA departments collaborated to identify the [student learning and development outcomes](#) relevant to the student activities, services, and programs in their divisions. Programs actively use these learning and development outcomes to develop and refine objectives and related assessments.

All areas of EMSA engage in a divisional process wherein each program collects and analyzes metrics of importance to the program as well as metrics related to how their programs affect institutional goals, such as impacting student learning or assisting in the recruitment and retention of undergraduate students through to graduation. EMSA's [Analytics and Assessment Office](#) guides programs by providing strategic analytics and meaningful assessment, supporting continuous improvement efforts, and publishing a [Divisional Report](#). (See also Criterion 4.C.3.)

4.B.4. The Faculty Senate-charged [Curriculum & Assessment Coordinating Committee](#) coordinates and fosters faculty stewardship of curriculum and the assessment of student learning as articulated in the DPEs. NAU faculty engage in academic program assessment to measure, in an ongoing fashion, the extent to which NAU's academic programs achieve stated learning outcomes and to identify changes that will help students in degree programs better achieve those outcomes. Through identifying explicit expectations of curriculum design and assessment for degree programs, setting appropriate standards for learning quality, and systematically gathering, analyzing, and interpreting evidence, faculty members identify how well students' performance matches expectations and standards. With that knowledge, degree programs can clearly document and explain program strengths and identify areas to improve performance.

The Office of Curriculum, Learning Design, and Academic Assessment (OCLDAA) provides tailored support to faculty members and academic units for the continuous improvement of curriculum design and assessment processes. Through consultations, [workshops](#), and [online resources](#) based on best practices, OCLDAA staff support faculty to assess student learning at the course, program, and institutional level and use of a wide variety of assessment strategies, such as formative, summative, direct, and indirect measures. NAU's instructional designers help faculty strategically develop clear course goals, well-aligned assessments, and engaging learning activities. Intentional design of in-person, online and blended courses results from collaborative application of theoretical frameworks based on current teaching and learning theory and best practice, such as the international benchmark of excellent course design, Quality Matters.

The [NAU Assessment Fair](#) is an annual event of poster presentations and roundtable conversations representing the assessment efforts carried out by faculty, staff, and students across the university ([archive of participation since 2003](#)). Posters reflect assessment projects, ranging from student learning to student needs and satisfaction, benchmarking studies, and student usage of services and programs.

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4.C - Core Component 4.C

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

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

Argument

4.C.1. and 4.C.2. Student achievement and progress to graduation are among the most important indicators of performance; therefore, NAU has established ambitious, yet attainable, goals aligned with [ABOR's 2025 performance metrics](#).

NAU's [freshmen retention rate](#) and the [six-year graduation rate](#) are continuing an upward trend with the 2015 cohort freshman retention rate at 75.5% and the six-year graduation rate at 53.3% for the fall 2010 cohort.

NAU's Office of Institutional Research and Analysis ([IRA](#)) analyzes student data and releases official university rates for student retention and completion of programs. Multiple reports are available on the IRA [website](#) and are highly customizable to meet the needs of the researcher or interested party with the individualized selection of parameters. For example, the [Dynamic Undergraduate Cohort Graduation Analysis Report](#) can be customized by Cohort Type, Full-Time/Part-Time, Age, Gender, Ethnicity, Campus and Year.

The six-year graduation rate for fall 2010 full-time [lower-division transfer cohort students](#) was 59.1% and 73.2% for full-time [upper-division transfer cohort students](#).

4.C.3. Based on student retention, persistence, and completion information, NAU has invested in innovative strategies to secure further gains in student success. Given the academic and social factors that influence student retention, two types of initiatives have been developed: course-based success initiatives and community-based success initiatives, all tailored to provide support to both general and specific student populations. The course-based success initiatives focus on

the improvement of instructional design, first-year formal learning experiences, academic supports for student achievement, and critical skills to assist students in succeeding as learners. The community-based success initiatives provide strong and timely guidance to students to improve their navigation of the university; strengthen connections and their sense of community with peers, faculty, and staff; and cultivate stronger commitment to degree attainment through robust support of educational planning and advisement.

The primary purpose of NAU's HLC [Quality Initiative](#) project was to systematically analyze the impact of two student success programs on the academic success of first-year students. The secondary purpose was to use the in-depth study of these two programs to refine assessment approaches and apply them systematically to continuously improve all student success programs. Additionally, a Student Success and Retention Committee with institution-wide representation was charged to use data-informed decision-making processes related to student success programs.

For several years, assessment experts and research analysts in EMSA and Academic Affairs have collaborated to create annual [Student Success Initiative Reports](#). For curricular and co-curricular programs, NAU asks whether each student success initiative has a positive effect on participants' academic performance, progress, or retention after controlling for relevant non-programmatic factors. Using entropy balancing, analyses provide information about the impact of a program on participants' outcomes while controlling for academic preparation and demographic characteristics. Post-hoc comparisons also provide an opportunity to explore whether there were differences in psychosocial variables as measured by the Student Strengths Inventory (e.g., Academic Engagement, Resiliency) for students who participated in these programs compared to students who did not participate.

In support of the ongoing commitment to student success and the use of data-informed strategies, NAU has secured the services of a retention specialist to facilitate the development of a comprehensive [retention plan](#) to help NAU achieve a retention rate of 80% by the year 2025 - a goal set forth in ABOR's metrics. The structured three-year plan includes targeted strategies, action plans, and the direct engagement of faculty and staff in the planning and implementation of retention best practices customized for NAU. For example, NAU has specific strategies designed to improve student learning and to increase retention and completion in distance-delivered programs, such as the development of required training for faculty teaching online courses.

In the fall of 2016, NAU began implementing Civitas Learning predictive analytics tools that identify students' likelihood of persisting and assist staff in tailoring support to students by providing dynamic persistence predictions for all academic levels of enrolled students. Currently, academic advising and Student Affairs mentoring programs are utilizing the tools to inform interventions and support.

NAU is one of 44 institutions participating in the [American Association of State Colleges and Universities' \(AASCU\) Re-Imagine the First Year \(RFY\) initiative](#). The project is organized around five major goals for increasing retention, reducing achievement gaps, institutionalizing intentional academic and social supports, fostering faculty members' understanding of their role

in student success, and promoting coordinated support for faculty members who have a unique and influential role in promoting academic achievement.

As a member of AASCU, NAU is also participating in the Bill & Melinda Gates Foundation-funded [Frontier Set initiative](#) - a four-year national project focused on identifying and advancing campus practices that accelerate student credential attainment rates, especially for low-income, first generation, and students of color. Efforts center on redesigned advising, enhanced digital learning, and strengthened developmental education.

In AY16-17, a [steering committee and complementary working groups](#) were charged with improving transfer and adult student support at NAU in response to persistence data for transfer students. (See Criterion 5.D.2.)

4.C.4. Institutional Research and Analysis' (IRA) methods are grounded in federal and state reporting practices as required by IPEDS, ABOR, and the Arizona state legislature. Frozen data sets are developed to support longitudinal and other official reporting related to student success as shown in the [Reporting Quick Reference Guide](#). Before data are frozen for reporting, they are subjected to rigorous testing standards and data integrity checks to ensure the highest possible data quality. Terminology and methodology related to the official census and cohort reporting processes are documented on the IRA website: [Terminology and Methodology Changes for Fall 2006 Census](#), [Undergraduate Cohort Definitions](#), [Graduate Cohort Definitions](#). The Arizona Office of the Auditor General annually audits FTE and SCH reports, a process that requires documenting official reporting and underlying business practices, and demonstrating that reported data reflect NAU's official systems of record and can be replicated by an independent third party.

To calculate retention and graduation rates, NAU establishes a cohort of first-time, full-time freshmen every fall semester on census day; cohorts are followed to the subsequent fall semesters to determine the percentage of cohort students retained each year and the percentage who graduate. This same type of tracking is done for transfer students. Each cohort is tracked indefinitely. IRA generates reports on these metrics by ethnicity, gender, age, residency, college, department, high school GPA, and multiple combinations of those categories. Results are shared with the university community and public via the [NAU Fact Book](#), posted on the IRA website.

NAU creates statistical models to identify predictors of first- to second-year retention of first-time, full-time freshmen on the Flagstaff campus. Core High School GPA and first-semester NAU GPA are the best predictors of retention. The former is the strongest predictor in the first term before NAU GPA has been earned, and the latter becomes the strongest predictor after it becomes available at the close of the first term. While Core HS GPA is the best single predictor of NAU first semester GPA, many other variables, including demographic measures and first-semester experiences such as participation in Supplemental Instruction or NAU100, have a direct effect on first-semester GPA as well. Still other variables are seen to contribute to student success (GPA or retention) in various models and as both direct and indirect predictors. ([See Student Success Initiative Report.](#))

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4.S - Criterion 4 - Summary

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

Summary

Since the previous accreditation, the hallmark of NAU's work has been in the advancement of assessment and continuous improvement processes. With respect to academic program quality, as articulated in the DPEs and evidenced in the Academic Program Review/Specialized Accreditation processes, NAU assesses learning at the course, program and institution level to inform continuous improvement efforts. Student success is a strategic priority, and NAU's academic and co-curricular support offices collaborate to retain students and continuously improving programs to provide the best possible support. Numerous data-informed processes are in place to measure continuous improvement efforts; academic quality; student performance; retention, persistence, and completion rates; and job-readiness and success of graduates.

Sources

There are no sources.

5 - Resources, Planning, and Institutional Effectiveness

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

5.A - Core Component 5.A

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

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

Argument

5.A.1.

Fiscal Resources

University fiscal accountability is detailed in Northern Arizona University's (NAU) [2016 Comprehensive Annual Financial Report](#) (CAFR), which attests to the fiscal resources available to support quality educational programs and the ongoing sources and types of revenue. As indicated on page 16 of the CAFR report, NAU is in a strong financial position to support its operations. According to the 2016 CAFR, on June 30, 2016, NAU's total assets exceeded \$1.1 billion, which was \$93.4 million less than the prior year. Net capital assets composed \$843 million of the nearly \$1.1 billion in assets, a similar proportion to that of June 30, 2015. Total liabilities were \$892.6 million at June 30, 2016, an increase of \$15.2 million. The net position of the university decreased \$8.6 million or 3%, under the previous year to a net position at June 30, 2016, of \$282.4 million. The university's financial reporting conforms to standards of financial reporting established by the Governmental Accounting Standards Board (GASB). In FY16, due to GASB 68 which addresses accounting and financial reporting for pensions, and GASB 45 accounting and financial reporting by employers for postemployment benefits other than pensions, the university's net position was adjusted for these statements. Without the GASB

Statement No. 68 and No. 45 adjustments, the university's net position would have increased \$2.8 million over the prior fiscal year.

Since the last HLC comprehensive review (i.e. the period from FY06 to FY16), the university has increased its total net position by \$68.6 million (from \$213.8 million to \$282.4 million).

Total revenues increased \$2.6 million from FY15 to FY16 (from \$491.2 million to \$493.8 million). Tuition and fees counted for 44.6% of total revenue in FY16, while state appropriations accounted for 19%.

As of June 30, 2016, NAU had \$1.3 billion invested in capital assets, with accumulated depreciation and amortization of \$462 million for net capital assets of \$843 million. During FY16 the university completed several major contractual commitments related to various capital projects. Examples of [new buildings funded with bonds](#) include the Science and Health Building, the Student and Academic Services Building, and the Aquatic and Tennis Complex. The new International Pavilion was completed using unrestricted funds. Starting in fall 2017, NAU will accommodate more than 9,700 residents with the 630 bed expansion of the Hilltop Townhomes, funded with a public/private partnership. The Arizona Board of Regents (ABOR) approved construction of the [Honors College Living and Learning Community](#), which will be a 204,656-square-foot state-of-the-art building with bedrooms, classrooms, a student advising center and study areas.

As of June 30, 2016, NAU's outstanding debt was \$645 million, compared to \$642 million at the end of the prior year. In FY16, NAU issued \$11 million of lease revenue refunding bonds, and \$33.8 million of systems revenue and refunding bonds. These issuances were to refund prior bond issuances to realize cost savings due to more favorable interest rates as well as to fund additional buildings. The system revenue bonds (\$12.2 million) will be used to renovate the South Dining buildings. NAU carries an institutional bond rating of A1 from [Moody's](#) and an A+ rating from [Standard & Poor's](#).

At the end of FY16, NAU and the NAU Foundation had \$143.9 million in endowment funds to support the university. The funds have grown significantly since 2010, when endowment funds were reported as \$52.8 million. The NAU Foundation participates annually in the National Association of College and University Business Officers (NACUBO) endowment study; results from the [FY16 survey](#) showed returns for NAU's Foundation were slightly higher than those reported by institutions in NAU's peer group of \$101 million to \$500 million. In the [FY16 Annual Financial Review to ABOR](#), NAU's one-year return was -1.7%, three-year average is 6.15%, the five-year average is 6.41%.

[Sponsored funding](#) (obligated funds only) increased 16% from FY15 to FY16.

Overall, the NAU operating budget has two components. The largest is the state appropriation plus the operating budget share of tuition and miscellaneous revenue, known as the "State Operating Budget". NAU's [FY16 State Operating Budget](#) is \$244.3 million compared to [FY15 State Operating Budget](#) of \$249.2 million. ([See the FY17 budget distribution.](#))

The other component of the operating budget includes auxiliary funds, restricted funds, and designated funds to comprise the overall total revenue budget of [\\$551.9 million for FY17](#) (page 5).

Enrollment Growth and Per Student Funding

Since the last accreditation, several major factors have impacted university operations, including the 2008 recession, a [significant reduction in state support](#) (\$4,876 decline per ABOR FTE), and tremendous enrollment growth (47% increase in FTE from 2008 to 2016). Overall, funding per FTE decreased from \$13,757 in FY08 to \$11,386 in FY16. ([See an overview of NAU's resources FY08-FY17.](#))

To minimize the impact to students while maintaining the mission, academic programs, high level of excellence, and safe operations in light of increasing enrollment and reduced state appropriation (a decrease of approximately \$60 million at its lowest point), NAU strategically addressed human resource needs and gradually improved university organizational structures and processes, as mentioned in the following paragraphs. In addition, the university continues to balance its fiscal needs with moderate tuition increases generally impacting only new and not continuing students, by leveraging public-private partnerships when possible (examples include residence halls built and operated by American Campus Communities, email outsourced to Google, food services operated by Sodexo, and High Country Conference Center that brought together NAU, City of Flagstaff, and Drury Hotels), increasing funding from external grant awards, renegotiating contracts, refinancing debt, maintaining an on-going emphasis on philanthropy, and cost-saving streamlining of operations.

Human Resources

Over the past several years, NAU's president has made a commitment to hiring additional faculty and staff to meet the needs of the institution's growing student population, following a period of time when faculty vacancies were not immediately filled. While faculty composition has shifted from majority tenure-stream to majority non-tenure track (See Criterion 3.C.1.) to address budgetary concerns, full-time faculty headcount has still increased from 836 in fall 2010 to 1,094 in fall 2016. During the same period, total full-time employee headcount (including faculty) increased from 2,487 to 3,046.

In fall 2016, the [average class size](#) for undergraduate courses was 36 students and for graduate courses 16 students. Graduate section size has remained fairly constant the past several years, with fall 2010 courses averaging 12 students. Undergraduate course section sizes have been relatively the same, ranging from an average of 33 in fall 2010 to an average of 36 in fall 2016.

Attracting and retaining faculty members is critical to maintaining strong academic programs at NAU. In AY16-17, [NAU faculty salaries ranked 14](#) among NAU's 15 ABOR-designated peer institutions. [Salary market comparisons](#) reflect the five-year salary trend for classified staff, service professionals, and faculty which is reported to ABOR in the [annual personnel report](#). Institutional funds are allocated when possible toward performance-based increases (Compensation philosophies and processes are market-based).

Human resources are leveraged and maximized through [effective human resource practices](#) and [policies](#) and rigorous and thorough [training and development programs](#) to ensure that qualified personnel resources are dedicated to support the demands of operations and course delivery, regardless of location or modality.

Physical Resources

NAU Flagstaff campus has 3,581,484 gross square feet of academic and academic support facilities, 1,414,264 gross square feet associated with auxiliary facilities, and 2,061,279 gross square feet of residence halls (includes those that are part of the NAU partnership with American Campus Communities and the new Honors College). These buildings are located on 683.4 acres of total Flagstaff campus land. In addition, NAU also owns 86,379 gross square feet of academic space in Yuma, Kingman, and Phoenix.

A Capital Improvement Plan is submitted annually to ABOR: The [2017-2019](#) plan shows a request of \$132.4 million for Building Renewal, Code Compliance, and Infrastructure to address fire safety and accessibility code compliance in academic facilities, an engineering lab addition to accommodate the Engineering programs' enrollment growth, a South Dining Renovation to increase efficiency and operations of dining on campus, and a Campus Energy Improvements Phase II to perform energy conservation measures for cost avoidance on the Flagstaff campus.

NAU is actively investing in physical resources, both to increase campus square footage and to improve the existing square footage. Capital expenditures in FY15 were \$106 million, with \$50 million spent on new academic and support space. Three new buildings –a new Science and Health Building, an International Pavilion, and Student and Academic Services building— were completed at the start of FY16, adding 269,755 gross square feet to the campus building inventory. An additional \$15 million was spent on Life Safety/Code Compliance projects throughout campus in FY15, primarily bringing residence halls up to current fire safety codes. The state provided \$4 million as a one-time appropriation that was dedicated to critical infrastructure projects in FY17.

In early May 2017, the State of Arizona passed a budget that included the most significant investment in Arizona's three state universities in more than a decade. State legislation provides for an annual appropriation for the next 25 years for critical capital investments. This long-term state investment in university infrastructure, paired with already committed university resources, will allow approximately \$1 billion in bonding opportunities for the state's three universities to provide Arizona's university students with the necessary facilities and resources. As part of this, NAU will see an appropriation starting at \$4,520,900 in fiscal year 2019 and with annual increases up to 2% each year for 25 years, depending on the annual change in the gross domestic price deflator.

To effectively grow while retaining its values, quality, and commitments, NAU must creatively confront challenges with space. One strategy is to use current space more efficiently. The office of [Space Management](#) serves as the central repository for information regarding the institution's space and as a resource for space-related decision-making that positively impacts NAU's instruction, research, and public service missions. In fall 2015, the president formed the

Strategic Space Planning Committee (SSPC). The SSPC is responsible for reviewing and managing the current physical space inventory, while assessing and planning for future growth. In May 2016, the SSPC completed its first survey, which required university departments to identify their immediate and future space needs. These surveys serve as the benchmark for university-wide space utilization reviews.

Each spring semester, a classroom improvement review assesses classroom and learning space utilization and faculty/student needs. Areas are identified, and funds are invested to make improvements and upgrades. To improve classroom utilization, NAU implemented CollegeNET's 25Live, a software package for [centralized scheduling of general university classrooms](#), in AY16-17.

In February 2017, [a new Vice President for Capital Planning and Campus Operations](#) began to lead university efforts in master and capital planning, contract negotiations, campus operations, and to build relationships with public and private partners. NAU maintains a variety of leases throughout the state: 51 as a lessee, 10 as a lessor, and 1 capital lease.

The majority of NAU's statewide programs are located on community college campuses or, as is the case with the Phoenix Biomedical Campus, in partnership with the University of Arizona. Facilities sharing agreements are reviewed annually to ensure the needs of students are being met, faculty have adequate classrooms that are properly maintained, and students have access to labs, computers, and libraries. For example, the North Valley campus hosts administrative staff that support many of the centralized services available to the other locations, including IT technicians that support locations statewide. These partnerships and infrastructure investments enable NAU to ensure the facilities continue to meet the needs of the students and the curriculum.

Technological Resources

Technological infrastructure, both in Flagstaff and statewide, is addressed by Information Technology Services (ITS) in their 2015-2019 [Strategic Plan](#). Networking connects over 30,000 clients (using 50,000 networked devices in any given day) to essential IT services, both local and worldwide. NAU has a 10-gigabit network backbone with high-capacity network connections to key research buildings. Connections to the Internet2 national research and education network are made through Arizona's Sun Corridor regional network—a partnership between NAU, the University of Arizona, and Arizona State University. With Sun Corridor and a high-speed campus backbone, NAU is prepared to provide the network capacity for activities ranging from big data research to online learning experiences to seamless integration of commercial cloud services. Mobile computing is supported through a vast campus wireless network with 802.11 service provided to every building on the campus.

In AY15-16, NAU reorganized and centralized IT staff to provide coordinated and consistent support across the institution. Under the [Chief Information Officer](#), ITS provides key infrastructure components, such as networking, video storage, the learning management system, help desk, technical support for university classrooms, and technology explorations with faculty

as well as supports the Student Information System, fiscal management systems, reporting and analytics, auxiliary services, and other business applications of the university.

The new ITS organization provides [support for all classroom facilities](#) and has begun a multi-year update of all facilities to ensure up-to-date and consistent technology across all learning spaces and to include updated display systems and standardized podium functionality. This is in addition to already-present wireless capacity—fully integrated with Blackboard Learn—for all users in a learning space and Kaltura services providing video hosting and streaming.

NAU ITS conducts an annual survey of faculty, students, and staff to assess the computing and electronic learning environment at the institution. For example, in response to an indicated need for increased after-hour support, ITS now provides IT support 24 hours a day, seven days a week.

University ITS staff also partner with the university's e-Learning specialists to provide systems, services, and facilities that support student learning, regardless of the mode of delivery or instruction. A dedicated [e-Learning Center](#) supports faculty members as they develop effective courses, regardless of how a program is delivered. This group assists faculty and students with curriculum-specific IT needs and collaborates with IT Services staff to provide seamless IT support across the community.

Staff and faculty have direct access to appropriate applications as well. ITS provides central coordination for computer procurement, and software licensing of over 500 application titles. NAU has an IT [accessibility policy](#). All Information and Communication Technology (ICT) purchased, developed, maintained, or used must meet federally recognized accessibility standards (Section 508 for ICT generally, WCAG 2.0 AA for web accessibility). Software titles are available to the university community in computer labs, office computers, and through virtual delivery systems supporting nearly any personal device. All faculty, staff and students have access to Google Apps for collaborative learning and work activities. Student access to these learning and administrative tools are also available through single-sign-on services via the my.nau.edu web portal.

To support research, high-performance computing, and the School of Informatics, Computing, and Cyber Systems, NAU provides a high-performance computing cluster called "[Monsoon](#)," capable of 19 trillion calculations per second with total memory of 12 trillion bytes. Monsoon has 750 TB of FDR infiniband connected storage.

In AY16-17, the university adopted a [data governance framework](#) to clarify and prioritize IT initiatives and ensure alignment with strategic objectives and appropriate use of accurate and timely data. This framework includes numerous advisory and coordinating committees whose participants help guide technology and data management decisions. IT and data governance also provide a structure for clarifying technology and reporting strategy, for focusing resources on strategic outcomes as well as operational excellence, for managing change, and for assessing IT and data quality and effectiveness. Training is an important component of the university's data governance process.

5.A.2. University Comptroller [policies, procedures](#), and [financial reports](#) serve as a series of checks and balances for NAU's resource allocation processes. NAU's [CAFR](#), which is independently audited by the State of Arizona Auditor General's office, provides an objective, thorough, and retrospective review of spending, as well as an annual opportunity to review and improve processes and procedures. For three consecutive years, the Government Finance Officers Association of the United States and Canada (GFOA) [awarded](#) a Certificate of Achievement for Excellence in Financial Reporting to NAU for its CAFR. NAU's [Internal Audit department](#) also [evaluates](#) risk exposures related to NAU's governance, operations, and information systems, including effectiveness and efficiency of operations; reliability and integrity of financial and operational information; safeguarding of assets; and compliance with laws, regulations, and contracts. This information leads to the development of the annual audit plan.

The NAU [Strategic Planning process](#) requires that divisional plans are aligned with the university mission and goals, and it provides the overall framework for resource allocation. Leadership Day (the annual university budget priorities process was described in 1.B.1) encompasses all divisions and helps identify emerging budget and planning issues for current and future years. This process sets forth [resource principles](#) and aligns with university strategic planning efforts. NAU's total compensation planning process (salaries and benefits) is linked with the annual budget commitment cycle. [State-](#) and [ABOR-](#)mandated reports related to budget, monitoring, and overall planning provide ABOR with institutional information critical for fiduciary oversight.

A robust system of checks and balances provides governance for the well-being of the institution and the focus on student learning. NAU prioritizes instructional aspects of the enterprise through State funding sources and temporary sources generated from increased enrollment; these Central Instructional Funds assist academic units in meeting increasing instructional capacity.

NAU uses auxiliary enterprises as a method of ensuring units that provide supporting goods and services to students are appropriately self-sufficient and do not divert funds away from core university functions. [Auxiliary enterprise revenues](#) primarily represent revenues generated by athletics, the bookstore, parking services, the health center, dining, and residence life.

5.A.3. Aligned with NAU's mission, [NAU's goals](#) are realistic in light of the university's organization, resources, and opportunities. Resources described in 5.A.1. are invested to support instruction, student success, public service and research. Goal progress is carefully tracked through institutional performance measures and through ABOR Enterprise Metrics ([2008-2020](#) and [2025 Projections](#) and [ABOR Enterprise Metrics](#) include 13 primary metric projections out to the year 2025; these projections were developed by NAU after a thorough review of trend data, peer data, and a scan of external factors (e.g., K-12 pipeline.).

5.A.4. The institution's faculty and staff (See Criterion 3.C.2. and 3.C.6., respectively.) in all areas are appropriately qualified and trained. Recruitment, selection/hiring, and human resources management processes have been developed with separate and detailed procedures provided for faculty and staff to ensure equity, safety, retention, and development of highly qualified employees. These processes are documented in the [Human Resources Policy Manual](#), the

[Conditions of Faculty Service](#), and the [Faculty Handbook](#), which are readily available online on the Human Resources and the Office of the Provost websites.

As part of the hiring process, the position posting for any faculty or staff position must include the required (and preferred) education and experience needed to fulfill the requirements of the position. In accordance with [Reference and Background Checks](#), NAU conducts a confirmation of academic credentials of the selected candidate for any position for which a degree is required or preferred. For any position at the university that requires or prefers a license or certification, the license or certification must be current and in good standing.

[Human Resources](#), [ITS](#), and the [Comptroller's Office provide formal and informal training](#) both in-person and online to ensure access, regardless of an employee's physical location. Online training certifications are available to all employees through Blackboard Learn, institutional and outside professional development, required new-hire orientation, leadership development training, and job-specific training. Managers and supervisors are required to allow classified staff and service professional employees to participate in a minimum of 16 hours of career and professional development programs each fiscal year and to support developmental leaves for those employees participating in these programs. Employees and supervisors document training and professional development in annual performance appraisals. A [faculty professional development program](#) is dedicated to supporting and engaging faculty in fostering and strengthening teaching and learning at NAU. Performance management and feedback are provided on a regular basis in accordance with documented [HR Performance Management principles](#) and [Annual Review, Promotion, and Tenure standards](#).

5.A.5.

Budget Process

The budget development process is coordinated by the Office of the President. The [annual operating budget development process](#) includes senior leaders who identify institutional priorities and establish a general consensus on how important the identified priorities are to the mission and health of the university. The president, in collaboration with her Cabinet, determines the best direction for the university, based on resources such as tuition/enrollment revenue and state appropriations. The budget development timeline for each fiscal year begins each fall semester with enrollment data providing the basis for tuition revenue projections and identified investment priorities informing the fiscal year budget request. Divisional plans and prioritizing of potential investments during the Leadership Day early each year as well as consultations with ABOR help the president finalize the fiscal year budget request. Reviewed and approved by ABOR, the fiscal budget request is due to the Governor's Office of Strategic Planning and Budgeting on September 30 each year. The Arizona Legislature considers the university budget request (along with other state agencies' budgets) and through a legislative action in the following spring semester makes a decision to appropriate state funding to NAU. After the state budget is signed by the Governor, the approved fiscal year budget goes into effect on July 1. The president's [Cabinet report](#) provides another mechanism for monthly review of budget and research performance.

Financial System Controls

NAU has invested substantially in its financial systems and is making great strides towards paperless storage of financial transaction documentation. The technology infrastructure provides for efficient, cost-effective transactional processing with built-in controls and edits to ensure compliance with university policies and procedures and external reporting requirements. More than 730,000 transactions were processed through the system in FY16.

[NSTAR](#), NAU's centralized budgeting software system, is maintained and administered by the University Budget Office (UBO). Department representatives/business managers directly enter their budgets into NSTAR each year. UBO provides [management training](#) to these individuals regarding budget process guidelines and information, along with a series of All Funds Budgeting and Analysis questions for business managers to consider when developing their operating budgets. The Comptroller's Office periodically examines the effectiveness of its systems and makes changes to ensure accuracy.

Further support of strong processes for budgeting and monitoring expenses is demonstrated in the annual [email reminder](#) the Comptroller sends to all financial staff regarding compliance with accounting, financial, budgeting, and other related administrative responsibilities. Below are highlighted policy and procedure resources:

- [Comptroller policies](#)
- [Purchasing policies](#) (Sections 100 – 600)
- [Purchasing Card policies](#) (Section 800)
- [Internal Control Resources](#)
- [NAU Conduct, Ethics, Reporting, and Transparency \(CERT\) Program](#)

Expense monitoring occurs regularly through reports available in NSTAR and available at the University Budget Office. Financial status updates are sent to ABOR and reviewed by its [Business and Finance Committee](#).

Financial Audits

NAU is audited each year for federal and state compliance and adherence to generally accepted accounting principles. Examples include the [State of Arizona Single Audit](#), the compliance [athletic audit](#), and the [residence life audit](#). In addition, the [state FTE audits](#) annually review student enrollments and payments to guarantee accurate reporting. These audits include reviews to determine that the university is in compliance with its own policies and procedures and federal and state regulations and that it has adequate internal controls in place.

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5.B - Core Component 5.B

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

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

Argument

5.B.1. ABOR is responsible for the oversight of NAU and two other public universities. Through ABOR meetings, committee work, and interactions with ABOR office staff and universities, ABOR members gain knowledge about the university to fulfill their governance and fiduciary responsibilities. New members meet with institutional leaders and administrators of each university as part of their orientation to ABOR. ABOR meetings rotate among the three institutions, giving each institution the opportunity to highlight its activities and issues at the meeting. [ABOR committees](#) (Academic and Student Affairs, Audit, Business and Finance, Health Affairs, Legislative Affairs, and Regents Executive) are aligned with responsibilities and allow a subset of ABOR members to gain in-depth knowledge about certain aspects of the institution, such as academic programs or the financial health of the university. ABOR requests [annual reports](#) on a variety of topics throughout the year. ABOR policy established the [Internal Audit function](#), which conducts [regular audits](#) across all university functions on behalf of ABOR.

ABOR's oversight of NAU's academic offerings is handled in several ways. The Academic and Student Affairs Committee (ASAC) routinely reviews information on proposals for new programs, programs being discontinued, and others. ABOR policy ([2-223](#)) stipulates that certain types of program/curricular changes must be approved using standardized definitions (e.g., ABOR policy—[2-221](#), [2-222](#)). ASAC provides input to ABOR on these requests. ABOR Policy [2-225](#) requires that academic programs go through a program review process every seven years. [Annual summary reports](#) of reviews completed are forwarded to the ABOR office. Similar to program reviews, any specialized or regional accreditation actions taken in a year are submitted to ABOR for review/discussion. ABOR also approves processes for promotion and tenure for all faculty positions and appointment of all administrators.

5.B.2. NAU has a strong history of shared governance. The [Constitution of the Faculty of Northern Arizona University](#) outlines the shared governance roles among faculty, administration,

and ABOR. Standing committees/councils represent various employment and student classifications: [President's Cabinet](#), [Faculty Senate](#), [Academic Chairs Council](#), [Provost's Academic Leadership Council](#), [Council of Academic Professionals](#), [Academic Associate Dean's Academy](#), [Classified Staff Advisory Council](#), [Service Professional Advisory Council](#), [Graduate Student Government](#) and [Student Government](#). Internal constituency engagement in governance on university committees and councils provides guidance and recommends policies/processes on a wide range of issues (e.g., budget advisory, benefits, diversity, and sustainability committees). Leadership of the various representative councils meets regularly with the university administration. The president holds monthly Cabinet meetings to share information and facilitate discussion on current topics with university leaders, including undergraduate and graduate leaders.

The university uses a variety of surveys, open forums, and web feedback to solicit internal constituency feedback on topics. Examples of these include the Collaborative on Academic Careers in Higher Education ([COACHE](#)) survey of all faculty members. (See Criterion 3.C.1. for recommendations.) and institutional surveys of students, such as the [Campus Climate Survey Summary](#) and [National Survey of Student Engagement](#). Regular university forums allow NAU's president to publicly share information with both in-person and online audiences and provides an opportunity for audience members to pose questions.

5.B.3. The [Provost's Office](#) together with faculty, staff, and students in six discipline-based colleges, the Honors College, Graduate College, and NAU-Yuma collaboratively set academic requirements, policy, and processes. In AY13–14, the Provost's Academic Leadership Council collaborated with faculty from across the institution to develop an [academic planning framework](#) for evaluating proposed programs in terms of strategic priority, academic quality, and financial/resource implications. (See Criterion 3.A. for an overview of the faculty-driven curriculum process.)

The [Constitution of the Faculty of Northern Arizona University](#) documents institutional governance as a shared process with faculty predominance in policy decisions relating to curricula, to student admissions and academic standards, and to the faculty personnel process as well as with active faculty participation in many other areas of institutional policy and operations, including student services, university facilities, and administration where these elements affect the academic program. While governance councils have membership from the employment or student classification the group represents, most other university committees include a broad range of constituencies. Additionally, college and/or departmental committees allow faculty, staff, and students the opportunity to engage in NAU's governance.

In addition, faculty members, staff and students are often included as ex-officio members on several Faculty Senate committees. For example, in AY15-16 the [Liberal Studies Committee](#) includes ex-officio members from the Office of Vice Provost of Teaching, Learning Design and Assessment, Office of Vice Provost of Academic Affairs, e-Learning Center, University Writing Program, Registrar, and Gateway Student Success Center.

All academic policies identified for inclusion in the university's [NAU Policy Listing](#) are drafted, reviewed, updated, and approved through key NAU stakeholder committees or within the state of

Arizona (e.g., ABOR). For example, the [Academic Standards Committee](#) (ASC), a Faculty Senate-charged committee with representation of administrators, faculty, staff, and students, recently reviewed NAU's policy on administrative drops. As part of this process, the committee worked closely with the Registrar's Office to draft a new administrative drop policy. The proposed policy was then sent to faculty, academic staff/advisors, and student groups requesting feedback, support, or statements of concern about the proposed policy. All feedback was reviewed and, where appropriate, incorporated into the revised policy. Subsequently, the ASC voted to recommend the revised policy to the provost for approval.

Sources

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- 5.B.1.09 Annual Summary Reports_APR 2016
- 5.B.2.01 APPROVED Constitution Proposal from Feb 2016
- 5.B.2.02 NAU_Presidents_Cabinet_Sept_13_2017
- 5.B.2.03 Membership - Faculty Senate
- 5.B.2.04 ACC Directory AY2017-18
- 5.B.2.05 Provost Academic Leadership Council_PALC members
- 5.B.2.06 Council of Academic Professionals
- 5.B.2.07 Academic Associate Dean Academy_ACADA_members_2017-18
- 5.B.2.08 Members - Classified Staff Advisory Council - CSAC
- 5.B.2.09 Members - Service Professional Advisory Council
- 5.B.2.10 Officers - Representatives_Graduate Student Government
- 5.B.2.11 Associated Students of Northern Arizona University_ASNAU
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- 5.B.2.15 Campus Forum_Fall 2016
- 5.B.3.01 Provost_Org_Chart
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5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

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

Argument

5.C.1. NAU's budget process ensures that budget priorities align with the mission and priorities established in the NAU Strategic Plan. The university's [macro budget process](#) establishes resource principles and budget planning assumptions that each divisional vice president uses to prepare his or her macro budget funding request for the upcoming year. This process culminates with the annual Leadership Day (the annual university budget priorities process was described in Criteria 1.B.1., 5.A.2., and 5.A.5.). The president communicates priorities to the Vice President of Finance, Institutional Planning and Analysis and to the broader university community through [NAU News](#).

NAU prioritizes student success as evidenced by significant investments in technology, including Salesforce, the Civitas Learning analytics platform, Smart Planner, and Jacks Planner. The Integrated Planning and Advising for Student Success (iPASS) grant project provided an avenue for integrating technology platforms to better support student success. (See Criterion 3.E.) The president's [September 2015 presentation to ABOR](#) points to numerous examples of streamlining, integrated processes, and new technology that have already advanced the university's ability to accommodate a record number of students while improving and expanding services.

5.C.2. Divisions align their budget requests with institutional priorities. (See [macro budgeting](#) requests for FY17.) Program evaluation and assessment of student learning data are considered in light of the institution as a whole and to prioritize requests for ongoing support.

Criteria 5.C.1 and 4.B.1.-3. highlight examples of recent funding decisions that align with institutional priorities to improve student success and achievement of learning outcomes (e.g., hiring an executive director for academic advising, funding for the Interdisciplinary Writing Program, and creating the Lumberjack Mathematics Center).

Within academic colleges, deans use a wide range of information, such as the following, to allocate funds:

- National benchmark data collected by the University of Delaware as part of the National Study of Institutional Cost and Productivity
- Reports from academic program external review teams that highlight areas of need within departments
- College accomplishments
- Enrollments and student credit hours taught by department
- Course information:
 - student outcomes at the course level for large enrollment courses
 - student opinion survey information
 - D/F/Withdraw rates
- Priorities set by the Strategic Plan, the president, the provost, and the dean's college

An example of linking student outcomes to budgeting at the institutional level is the [President's Technology Initiative-Round for large course redesign](#). Faculty were provided resources and support to redesign large-enrollment, multi-section, lower-division courses with high DFW rates to address space issues, student learning, and cost savings. The aggregate savings for the eight projects was \$161,147. The eight courses enrolled 6,356 students in AY13-14, up from 5,013 in AY11-12. The [DFW rates and the overall grade distribution](#) are nearly identical in the blended model vs. the traditional full face-to-face model.

Another example is the inclusion of budgetary impacts of the courses in the Academic Transitions Program in the assessment efforts. The total number of students retained as a result of taking NAU100, NAU120A, NAU130, and/or UC199 is 334 out of the 5,089 first time freshman on Flagstaff campus, or 6.6% higher retention rate university-wide. The average tuition rate for every student in the fall 2015 cohort was \$5,632 without the discount rate, and \$3,920 with the discount rate. The discount rate is 69.6% of tuition accounting for university scholarships, awards, and other financial assistance. This means that these 4 courses have generated \$1,880,754 in tuition revenue for fall 2016 semester alone, or \$1,309,005 after the discount rate.

Within Enrollment Management and Student Affairs (EMSA), [a variety of surveys are used](#) to measure service demand, time, outputs, customer satisfaction, and student learning and development. The Analytics and Assessment team brings continuity and consistency to unit and division assessment, allowing EMSA to use data more consistently in prioritizing budget needs and requests. As a part of ongoing quality and customer service improvements, EMSA assesses its programs and services' effectiveness in meeting student needs. The results of these assessments are factored into budget requests. Advanced statistical approaches for systematic assessment are described in Criterion 4.C.3.

In addition to the regular monitoring of key strategic plan performance indicators, the institution regularly [surveys](#) its students at various points in their academic careers. The [Sophomore](#) and [Graduating Senior](#) surveys are NAU-designed tools that enable the institution to gather valuable feedback from students regarding aspects of their NAU education. The [National Survey](#)

[of Student Engagement](#) (NSSE) is administered at regular intervals “to collect information on first-year and senior students’ participation in programs and activities that enhance their learning and personal development.” Benchmark data available through NSSE are a valuable aspect of these surveys.

Criteria 3 and 4 include a more extensive discussion of assessment of student learning and academic program level outcomes and planning.

5.C.3. ABOR provides the framework for NAU’s strategic plan. To align with ABOR, planning at NAU occurs at many levels, and each type of planning engages internal and external constituent groups as appropriate. For example, the Strategic Planning and Budget Council (SPBC) develops NAU’s strategic plan after soliciting feedback from ABOR, officially recognized committees, open forums, and work sessions; input is received from students, faculty, and staff. (See Criterion 1.A.1.) Using [NAU’s Business Plan](#), the [Campus Master Plan](#), the [2015 NAU Landscape Master Plan](#), the [2017-19 NAU Capital Improvement Plan](#), the Divisional Strategic Plans, such as the one linked [here](#), and other economic and environmental information, the SPBC compiles the information into a comprehensive strategic plan that represents the perspectives of internal and external constituent groups.

The Provost's Academic Leadership Council collaborates with faculty from across the institution to develop a shared approach to evaluating proposed programs in terms of strategic priority, academic quality, and financial/resource implications. Faculty members play a critical role in the development of the curriculum and are key internal constituents in [academic planning](#). Colleges, departments, and programs engage students in various advisory committees to gain students' perspectives. For example, the Director of Undergraduate Programs in the W.A. Franke College of Business solicits feedback from student ambassadors who act as liaisons between the college and current and prospective students and their parents.

Capital Planning: NAU submits a [campus master plan](#) to ABOR every five years and annually submits a three-year capital plan for ABOR review and approval. The 2010 Master Plan is the official master plan and was updated in spring 2017. External review of capital projects occurs through ABOR review as well as community open forums on select projects. As appropriate, department faculty, staff, and students are engaged from the pre-planning needs assessment through implementation, steering committees are established to develop scope, and a review process includes internal and external constituents throughout the planning process.

5.C.4. Budget development is an iterative process that evolves as additional information is gained through the [strategic planning cycle](#). The state economic outlook makes it imperative for NAU to have sound plans for the future. [NAU’s Strategic Plan](#) includes revenue and enrollment fluctuations as a core consideration in decision making. During budget reductions over the last several years, NAU prioritized cuts in a way that minimizes impacts to academic programs. NAU has made effective use of a contingent workforce (part-time faculty, temporary employees, and student employees), where prudent, to carry out its educational mission. (See Criterion 5.A.5. for more information on the budget planning process.)

5.C.5. Planning at NAU is continuous and dynamic, evolving based on institutional, state, and national and global trends; emerging factors; and feedback from internal and external constituents. The engagement of faculty and staff in state, national, and international professional organizations and collaborations keeps the university on the cutting edge of higher education. Following are a few examples of how planning efforts are proactively addressing emerging factors:

- NAU secured a \$1 million grant from the Lumina Foundation to develop a new model of competency-based degree programming. The university's initial investment of \$3 million then helped implement the model now known as [Personalized Learning](#).
- Located on the Phoenix Biomedical campus, NAU and the University of Arizona's College of Medicine-Phoenix created a new model for an integrated and interdisciplinary approach to health sciences education and research.
- NAU implemented Salesforce CRM institution-wide to build a connected network, improve student retention, and facilitate student success.
- In 2016 the College of Engineering, Forestry and Natural Sciences (CEFNS) launched the School of Informatics, Computing, and Cyber Systems. The new school offers a unique interdisciplinary experience focused on four areas of strategic growth—cybersecurity, heterogeneous and reconfigurable systems, cyber-physical systems, and big data and data science—that represent 21st century challenges in key areas of national need.

Sources

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- 5.C.2.01 Macro Budget Detail Submissions_Feb 2017
- 5.C.2.02 President Technology Initiative Large Course Redesign - Blended Learning
- 5.C.2.03 DFW Rates and Overall Grade Distribution
- 5.C.2.04 Enrollment Management and Student Affairs_EMSA Student Surveys
- 5.C.2.05 Institutional Research and Analysis - Surveys
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- 5.C.2.07 Senior Survey Report 2014
- 5.C.2.08 National Survey of Student Engagement_About NSSE
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- 5.C.3.02 Campus Master Plan_2010
- 5.C.3.03 Landscape Masterplan 2015 Final
- 5.C.3.04 Campus Improvement Plan_17-19_Final_09.11.15
- 5.C.3.05 Here_2015-NAU-ems-a-annual-report
- 5.C.3.06 Academic Planning _2016Framework
- 5.C.3.07 Campus Master Plan_2010
- 5.C.4.01 Strategic Planning Cycle
- 5.C.4.02 Strategic Plan Official Document

- 5.C.5.01 Personalized Learning_strategic_plan.2014

5.D - Core Component 5.D

The institution works systematically to improve its performance.

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

Argument

5.D.1. In the spirit of openness with the public it serves, NAU documents evidence of its performance in a variety of ways. NAU's [Fact Book](#), posted on the Institutional Research and Analysis (IRA) website, provides publicly available information on a wide range of topics, most with historical trend information. Examples include student demographic information, top undergraduate academic plans, average class sizes, academic programs, and student costs. IRA reports data to numerous state/federal agencies and external organizations.

NAU annually reports to ABOR on progress the university is making on ABOR goals and the NAU Strategic Plan. Beginning in 2014, ABOR began requiring an annual Operational and Financial Review (OFR) from each of Arizona's three universities. The OFR is accompanied by a summary of university performance on key performance measures. Further, the president provides an updated strategic business and academic plan, which considers opportunities and challenges of the university along with the resources needed to achieve the plan. The plan must relate back to the [ABOR's statewide university enterprise plan](#) which establishes goals and outcomes for the system.

NAU values and implements continuous improvement processes through regular and objective reporting and evaluation from both internal and external entities. ABOR Enterprise Metrics goals are [publicly](#) displayed on ABOR's website and used to gauge institutional progress toward 2025 projections. In spring 2015, the Division of Academic Affairs [revised its strategic plan](#), making changes to academic programs (online and in-person) implemented with regard to Enterprise Metrics related to student success (e.g., freshman retention, undergraduate and graduate enrollment, four-year graduation rates) and to improving academic quality of the institution (e.g., all degree programs must achieve and maintain DPEs for curriculum and assessment and incorporate them into the curriculum review, assessment, and Academic Program Review processes – See Criteria 3 and 4).

Similarly, NAU's Strategic Plan Performance Measures are used to assess progress toward institutional goals. A [President's Cabinet Report](#) is presented monthly as a way to evaluate and question any and all aspects of the institution. Progress is also monitored through [reports](#) or revised planning documents. IRA provides a wide variety of data to the general public through its website and participation in national and international surveys to ensure transparency and accountability.

EMSA uses information gathered from [student surveys](#) to understand students' needs and characteristics, measure learning and development, and improve practices and services. Annual Curriculum & Assessment Reports capture accomplishments and opportunities for improvement in student learning outcomes by academic program. (See examples from [Public Health](#), [Business Administration](#), [Politics and International Affairs](#).) The [Annual Assessment Fair](#) poster presentations represent assessment efforts carried out by faculty, staff, and students across the university. Assessment projects range from student learning to student needs and satisfaction, benchmarking studies, and to student usage of services and programs.

5.D.2. NAU is committed to continuous improvement. A number of initiatives have been implemented in the past few years to improve institutional effectiveness and efficiency. Evidence that the university operationalizes its commitment to institutional effectiveness and improvement is demonstrated through the following examples of recent and ongoing initiatives across the university.

Significant effort has been placed on automating processes, forms, and procedures to enhance institutional efficiency and streamline service. [Automation accomplishments](#) include electronic transcripts, effort reporting for sponsored projects, an online academic catalog, and the electronic personnel action request for (ePAR), to name just a few. NAU is currently in the process of implementing an enhanced timekeeping system, automating the Educational Aid Registration Permit (EARP), and automating degree program applications.

Further evidence is the implementation and use of OnBase, the university's enterprise content management system. OnBase is a document management/imaging application providing solutions for various schools and departments throughout the university. It is used to store, track, and process electronic documents, as well as to enhance workflow processes to increase operational efficiencies. OnBase is designed to complement existing business applications/databases such as, but not limited to, PeopleSoft Campus Solutions, Access, and PeopleSoft Financials.

In October 2016 NAU launched [Jacks Path](#), a website that provides critical information to prospective transfer students. In addition to providing both a planning function and a course equivalency function for students, this web application provides a connection for transfer students to NAU staff and department resources, career and salary information by degree program, actionable reminders as key deadlines arrive, overall progress toward their "ready to transfer" status, and detailed information about the remaining semesters and coursework needed to complete their degree at NAU.

Support for faculty and departments to implement best practices in curriculum design and assessment are described in Criteria 3 and 4.

Construction efforts since NAU's last HLC review also demonstrate a commitment to continuous improvement. Examples include the [Health and Learning Center](#), a 272,000-square-foot, multipurpose building that houses Campus Health Services, academic space, and an expanded recreation facility. The Science and Health Building has 118,000 square-feet of classrooms, lecture halls, offices, research modules and teaching laboratories to support chemistry programs

and the Center for Science Teaching and Learning. The [Student and Academic Services](#) building provides a one-stop shop for student services, including Admissions, Office of the Registrar, Financial Aid, and Student Accounts. The [new Aquatic and Tennis Complex](#) offers a state-of-the-art facility for students and NAU's swimming, diving, and tennis teams and supports the university's Title IX compliance efforts. The facility hosts NCAA events and training activities for Olympic athletes from around the world. These buildings are part of NAU's pledge to building green and are among the many Leadership in Energy and Environmental Design ([LEED](#)) certified buildings on campus.

The university places an emphasis on accessibility, asset protection, and safety and emergency preparedness. The university emphasizes the importance of accessibility in its facilities and infrastructure, including accessible bus routes, universal design for physical plant, and for learning and academic imaging accessibility tools. The [Office of Emergency Management](#) coordinates an advisory group and various partnerships and manages the university's Emergency Operations Plan. This office also provides online training courses to keep the classrooms and offices as safe as possible.

Sustainability

NAU is dedicated to exemplifying [a sustainable, innovative, and effective university community](#). NAU's strategies for achieving this goal are:

- Continue to improve institutional effectiveness and organizational performance
- Maximize faculty and staff commitment through workforce practices and services that contribute to the long-term viability of the university
- Develop fundraising opportunities in support of expanded capacity to meet the strategic goals

As a leader in sustainability, NAU models environmentally responsible and sustainable operations and education. For example, the [Green NAU Sustainability Action Plan](#) was created and implemented in 2015 and addresses water, recycling and waste management, transportation, operations, procurement, energy and climate, and academics and research. In 2007, NAU signed the American College and Universities Presidents' Climate Commitment (ACUPCC). NAU partners with energy services company NORESO to increase building efficiencies and achieve sustainability goals. [Sustainability and environmental curricula and research](#) are part of a variety of undergraduate majors and graduate programs.

Sources

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5.S - Criterion 5 - Summary

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

Summary

NAU's resources, structures, and processes are monitored and guided by a strong framework of management and strategic planning efforts to ensure fulfillment of mission and a cycle of continuous improvement. A robust network and culture of leadership spans the university, providing direction and oversight for fiscal, capital, and human resource management and resulting in resource allocation principles that align with NAU's overall mission and priorities. A series of enterprise metric targets approved by ABOR for the university, along with a set of key performance indicators aligned with NAU's strategic plan, assure a thorough and regular review of institutional goals and progress. Budget planning includes engagement with a diverse array of stakeholders from Faculty Senate, undergraduate and graduate student leaders, and staff councils, with ultimate oversight from ABOR. NAU's inclusive culture allows the institution to develop sustainable practices, anticipate emerging factors, and be responsive to the university environment. These resources allow the university to sufficiently and effectively meet the needs of its stakeholders and to address institutional priorities identified in the strategic plan.

Sources

There are no sources.