Northern Arizona University - AZ

HLC ID 1010

OPEN PATHWAY: Reaffirmation Review   Visit Date: 10/16/2017

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Context and Nature of Review

Visit Date

10/16/2017
Mid-Cycle Reviews include:

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

Reaffirmation Reviews include:

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

Scope of Review

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

There are no forms assigned.

Institutional Context

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 sought to increase 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.

Interactions with Constituencies

University President

Provost and Vice President of Academic Affairs

Executive Vice President and Chief of Staff

General Counsel

Chief Institutional Data Officer

Vice President of Intercollegiate Athletics

Chief Information Officer

Assistant to the President, Office of Communications and Media Relations

Chief Marketing Officer

Vice President of Native American Initiatives

Vice President for Research

Vice President for Finance, Institutional Planning and Analysis

Vice President for Capital Planning and Campus Operations

Vice President for External Affairs and Partnerships

Vice President for Enrollment Management and Student Affairs

Vice Provost for Teaching, Learning Design and Assessment

Dean, GraduateCollege

Director, Human Resources Programs

Executive Director, Academic Chairs Council

Assistant Director for Learning and Organizational Development

Community Member

Assistant Dean, Cline Library

Associate Vice Provost, Off-Campus Education

Associate Vice President for Research

Student Body President

Senior Business Manager

Undergraduate Student Representative

Vice Provost for Academic Affairs

Director, eLearning Center

Dean of Students

Associate Vice President, Enrollment Management and Student Affairs

Faculty Senate President

Undergraduate Chair, Teaching and Learning COE

Chair, University Undergraduate Committee

Director, Ethnic Studies and Co-Chair, Diversity Curriculum Committee

Associate Dean, CHHS

Associate Dean, Graduate College

Director, Faculty Professional Development Programs

Professor, School of Forestry

Coordinator for Assessment

Director, Liberal Studies

Associate Director, IT

Associate Vice President, Comptroller

Executive Director, Scholarships and Financial Aid

Director, Institutional Research and Analysis

Coordinator, Personalized Learning

Chair, Arizona Board of Regents

Vice-Chair, Arizona Board of Regents

Staff Member, Arizona Board of Regents

Chief of Police, NAU

Commander, NAU Police Department

Director of Clery Act Compliance

Director, Inclusion, Multicultural Affairs, and LGBTQIA

Vice Chair, LGBTQIA Commission

Co-Chair, Commission on Diversity Access and Design

Director, EAO/Title IX Coordinator

Assistant Vice President Equity Compliance

Co-Chair, Commission on the Status of Women

2 Student Reporters

Senior Program Coordinator, CEFNS

Assistant Director of Student Services, COE

Advising Coordinator, CHHS

Director, Online and Community Campuses Advising

Director, Gateway Student Success Center

Business Analyst, VPAA

Associate Director, VPAA Business Analysis Team

Executive Director, University Advising

KCORAK and Coordinator, College of Engineering, Forestry, and Natural Sciences

Advising Coordinator, College of Arts and Letters

Advising Coordinator, College of Social and Behavioral Sciences

26 Deans and Faculty Chairs

20 Students

35 Staff Members

36 Faculty Members

Additional Documents

B.pdf
C.pdf
Advising_Loads_October_2017.pdf
Ave_Class_Size_-Grad_UG.pdf
Incoming_Student_Characteristics_-_PAIR.pdf
Incoming_Student_High_School_GPA_-_PAIR.pdf
links_to_retention_student_characteristics.pdf

Fall_UG_fulltime_Cohort_Retention_Analysis_-_PAIR.pdf
NAU_Yuma_HLC_Site_Visit_10.13.17_Sign_In_Sheets.pdf
course_availability_analysis_Note.pdf
1177_FDOT_Fall_Enrollment_and_Cap_History_for_distribution_ao_2017.09.28.pdf
Fall_2017_Enrollment_Report_45th_Day_NAU_20171012.pdf
Elementary_Education_Yuma_ADE_Application.pdf
Byron.pdf
Cordova.pdf
Extended_Campus_Strategic_Plan.pdf
Mini-Self_Study_on_BAS_and_BIS_in_Admin.pdf
Mini-Self_Study_on_BAS_LSCM.pdf
NAU_Yuma_Strategic_Plan.pdf
QA_Report_NAU_-_2011-2013-2.pdf
QA_Report_ACBSP_September_2015_(2).pdf
SELF-STUDY_2010-2011_Final.pdf
Strategic_Plan_NAU.pdf
Strategic_Plan_Procees._Yua.pdf
Supplemental_Intergovernmental_Agreement_10.27.94.pdf
Yuma_Stratgic_Plan.pdf
Yuma.La_Paz_Counties_Community_College.pdf
Arts__Sciences_Curriculum_and_Assessment_Plan_.pdf
Assessment_PlanPsychologyB.pdf
AY2013_2014ReportBASLogisticsSupplyChainManagement.pdf
AY2013_2014ReportPublicAdministrationJusticeStudies.pdf
Elem_Ed_Learning_Outcomes_Chart.pdf
Final_Curr_Assess_MultiYearPlan_PublicAdmin_Feb23_2017.pdf
Final_Curr_Assess_MultiYearPlan_TechMgmt_Mar14_2017.pdf
NAU-Yuma_Learning_Outcomes.pdf
Section_C_Assessment.pdf
Timeline_for_Melinda_Curr_Assess_MultiYearPlan_JusticeStudies_Nov11_2016_(2).pdf
UAC_Annual_Report_For_AY2015-16-Technology_Management.pdf
NUR.C105__NUR_330_Syllabus__Personalized_Learning_2017.pdf
NUR.C105.O1.L1__Essay.pdf
NUR.C105.O1.L1_Design_Document.pdf
NAU_Support_Letter.pdf
Shared_governance_document_signed_january_7_2016.pdf
2017_05_NAU_NCAA_Compliance_with_follow_up.pdf
2017-06-07_NAU_Printing_Services_with_follow_up.pdf
ABOR_Spring_2017_Financial_Status_Update.pdf
Bias_educ_support_team.pdf
College_funding_process_example.pdf
Full_Time_Faculty_status_college.pdf
Full_Time_Faculty_status_overall_2009-2016.pdf
Full_Time_Faculty_status_rank_college.pdf
2007-2017_overlay_Aerial_Map.pdf
College_funding_process_example2.pdf
5.A.5_Financial_System_Controls_.pdf
Advising_Org_Charts_101717.pdf
Advisor_Numbers_Farnum.pdf
YumaFacCouncil__Minutes_Sep_8_2016_Meeting.pdf

YumaFacCouncil_Minutes_Aug_25_2016_Meeting.pdf
YumaFacCouncil_Minutes_Oct_13_2016_Meeting.pdf
Pres_Campus_Communication_May_2017.pdf
Pres_Campus_Communication_Nov_2016.pdf
Crime_stats_UA_ASU_NAU.pdf
Drug-Liquor_Violations_10.09.17.pdf
map_recreational_medical_marijuana_states.pdf
Police_Accreditation_Auditors.pdf
Sex_Assault_Report.pdf
Pres_NA_Campus_Communication_Nov_2016.pdf
Pres_AA_Campus_Communication_Feb_2017.pdf
Pres_Imm_Campus_Communication_Jan_2017.pdf
CAFR_testing_language.pdf
Financial_Status_updates.pdf
Internal_audit_findings.pdf

Northern Arizona University Why Accreditation Matters Flyer

AAUP-NAU Talking Points for NAU Faculty Meeting with the Higher Learning Commission

2016 ANNUAL REPORT ON WAGES EARNED BY ARIZONA UNIVERSITY SYSTEM GRADUATES

1 - Mission

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

1.A - Core Component 1.A

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

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

Rating

Met

Evidence

The University undertook a process of reconsidering its strategic plan in FY12-13. In Fall 2015, the University engaged in an inclusive process of creating a vision for the future of NAU entitled Visioning 2025. In addition, NAU's mission along with its strategic goals and values are reaffirmed every three years by the Strategic Planning and Budget Council. This process involves internal and external constituencies in discussions about the University's future. These different processes resulted in the approval of the University's mission, vision, and values by the Arizona Board of Regents (ABOR) at its September 2016 meeting.

The University's enrollment profile is consistent with its mission as one of the three state-supported universities in Arizona. Fall enrollment in 2016, 30,368, was 42% higher than in 2007. Enrollment of students of color increased by 112% in the same period, growing from 5,067 to 10,753 students.   The university's incoming student profile approximates Arizona's diversity profile with 38% identifying as racial and ethnic minorities.

To fulfill its mission of enriching lives and creating opportunities for its students, NAU offers 91 baccalaureate programs, 50 master's degree programs, and 14 doctoral programs. This array of programs is similar to what one would expect to see at other institutions with similar missions. NAU continues to be an exemplary leader in delivering many of its courses and programs online as well as face-to-face on the Flagstaff campus and at other locations in the state.

The student-support services provided via the offices of 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 are consistent with the Univeresity's stated mission. The students with whom we talked during the site visit gave high praise

to these services. This variety of services contributes to student outcomes consistent with the mission, including improving student learning and achievement and working with diverse learners.

NAU systematically aligns its budget and planning priorities with its mission. The ABOR sets overall priorities for the three state institutions. The NAU strategic plan is aligned with the ABOR strategic plan. The Finance, Institutional Planning, and Analysis Division, in consultations with the members of the Strategic Planning and Budget Council and President's Cabinet, provides overall guidance for this alignment. Each unit within the University takes the strategic plan of the University into account in its resource allocation to ensure that budget and planning priorities are aligned with the mission.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.B - Core Component 1.B

The mission is articulated publicly.

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

Rating

Met

Evidence

The institution clearly articulates its mission through several core documents and public presentations including the April 2016 Strategic Plan and the ABOR June 2016 presentation. The home page for the President's Office lists the mission, vision, and values of the institution. The Strategic Planning website contains links to the University Strategic Plan, the planning committee, and other sites that clearly articulate the mission of the University.

The various mission documents are current and are reviewed and updated on a regular basis. This review occurs every three years and involves external and internal constituents. It is coordinated by the Strategic Planning and Budget Council. The updates are communicated widely in a number of documents and presentations in a timely manner.

The mission documents specify the intended recipients of the higher education programs and services the institution provides. The most recent strategic plan reaffirms the university's commitment to serve the students and citizens of Arizona, including those in isolated rural areas. The strategic plan also identifies diversity and a commitment to serve Native American communities and people as two of the six strategic goals and strategies.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.C - Core Component 1.C

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

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

Rating

Met

Evidence

NAU's understanding of the importance of human diversity in pursuing its mission is reflected in many areas and activities within the University. NAU is committed to recruiting a diverse student body, faculty, and staff. In 2016, 15 percent of the faculty and 25 percent of the staff were identified as ethnic or racial minority. In addition, Diversity in Higher Education recognized NAU as 11th in the nation in producing undergraduate degrees in all disciplines for Native Americans and 47th for Hispanic students in all disciplines.

The Center for University Access and Inclusion coordinates diversity and inclusion efforts across the institution through its Diversity Commissions, and the offices of Equity and Access and Disability Resources. NAU has also developed a draft long-term diversity strategic plan. At the time of the construction of the assurance argument, the final adoption of the plan awaited confirmation that it was aligned with the University Strategic Plan. The five draft goals include access, equity and inclusion, welcoming climate, increasingly diverse community, fair and equitable distribution of resources, and accountability.

In the area of student services, NAU has developed a broad array of programs and services for its increasingly diverse student body. These include First Generation Programs, Inclusion and Multicultural Student Services, Native American Student Services, LGBTQIA student services, and College Access and Mentoring programs. In addition, NAU's College of Education has established a program with nine Arizona public school districts to promote college attendance among low-income, rural 8th graders.

Some faculty, staff, and students expressed concern about the departure of the University's Chief Diversity Officer. A number of people had great respect for, and confidence in, this individual. After the assurance argument was complete, the University hired a new individual with a with the title, Director of Inclusion, Multicultral Affairs, and LGBTQIA. Those who have worked with this individual have expressed great confidence in her. It will be important for the institution to work agressively to communicate the role and operation of this office.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.D - Core Component 1.D

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

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

Rating

Met

Evidence

NAU demonstrates that it is committed to the public good in many ways. NAU innovations, located within the Office of the Vice President for Research, manages the transfer of technology developed within the University to the private sector for development into products and practical applications. The activities of this office enable the research from the University to both stimulate the economy and improve the quality of life in the state and beyond.

The Native American Cultural Center was developed in consultation with the region's tribes. It provides a place where American Indian elders and leaders can spend time with students and others on campus. It houses Native American Student Services as well as serving as the home for Native American clubs and organizations.

NAU's Health Research Initiative supports work on translational, biomedical, and community health research in northern Arizona, throughout the state, and around the world. THRIVE, for example, is a partnership with a local regional hospital to work with patients admitted to the emergency room. It works to help them avoid repeat visits to the hospital after being released.

NAU's Dental Hygiene Program provides dental care to local children and needy individuals. Staff in the Program also travel throughout the state to provide dental care to those who would otherwise not have access to it.

The Alliance Business Bank Outreach Center in the Business School provides support to individuals, companies and other entities outside the University. This support includes management development programs, consulting activities, and professional participation in community and volunteer organizations.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

1.S - Criterion 1 - Summary

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

Evidence

The mission of Northern Arizona University is clear and it appears in many university websites and publications, including very prominently on the President's webpage. The University engages in a structured system of reviewing and reaffirming its mission every three years. The mission, vision, and strategic plan of the University are approved by the the Arizona Board of Regents. The mission guides the institution's operations and this is clear in strategic planning, student services, community outreach, and resource allocation.

2 - Integrity: Ethical and Responsible Conduct

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

2.A - Core Component 2.A

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

Rating

Met

Evidence

A broad number of documents exist that help to ensure that the institution operates with integrity. It has a significant number of policy manuals and explicit guidelines that provide ethical guidance to the governing board, administration, faculty members, and staff members. Guidance is provided on ethical conduct and conflict of interest by Title 15 of ABOR Policies and the university system policies on ethical conduct. Faculty and staff members are also directed by the Safe Working and Learning Environment Policy, which is overseen by the Office of Equity and Diversity. This office also provides training to help guide employees on safe procedures.

NAU academic affairs policies are carefully aligned with ABOR's 14 academic policies. These policies have been carefully aligned with ABOR policies. Academic policies are reviewed by the Faculty Senate's Academic Standards Committee. The Office of Human Resources and the Office of Equity and Diversity also maintain a large number of policies for training and search processes. Another example of procedures ensuring ethical behavior include the CERT process (Conduct, Ethics, Reporting, and Transparency) which is reported annually by all employees. There are extensive policies related to Human Relations.

With regard to students, faculty and staff members are directed to follow FERPA guidelines. Students are provided explicit guidance by the Code of Student Conduct and it is required that course syllabi point to these policies.

The items identified here are examples of existing policies and procedures; which are much more extensive and comprehensive. The HLC Review Team was impressed with the thoroughness of the information provided for review.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.B - Core Component 2.B

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

Rating

Met

Evidence

The institution has an extensive array of materials to inform constituencies. The University web pages are in good order; being both informative and easy to navigate. The Fact Book contains a significant amount of valuable information describing the University. The budget is published. The University Catalog appears to be relatively complete and it is fully integrated online. Admissions criteria are published and the material aimed at recruiting students seems to be accurate and appropriate. Student costs are published. Title IV information is posted.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.C - Core Component 2.C

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

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

Rating

Met

Evidence

The HLC Review team met with two members of the Arizona Board of Regents (ABOR). It is clear that ABOR is dedicated to understanding and respecting the vision and mission of the institution. ABOR understands how the institution's smaller size makes it uniquely different from the other two state universities. Although ABOR is invested in the growth of the institution; they are working to ensure that this growth is managed, and eventually limited. This is being done to respect the unique characteristics of this institution.

ABOR consults often with the institution's leadership and its deliberations are guided by a wide variety of reports, information, and strategic indicatiors. ABOR is careful to balance the needs of the institution with the Board's obligation to be accountable to the best interests of the State of Arizona. For example, the two Regents who met with the HLC team explained that all institutions in the state needed to help produce more college graduates to address the future workforce needs of the State. Yet, they were aware that any enrollment increases at NAU should not challenge its character as an institution smaller than the other two state universities. With regard to this, the HLC review team believes that the institution should make an effort to communicate to the NAU community that enrollment increases will be carefully managed.

The team did not find evidence that the Regents are unduly influenced by outside influences in a way that would not be in the best interests of the institution.

ABOR delegates day-to-day management of the institution to the administration.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.D - Core Component 2.D

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

Rating

Met

Evidence

The institution is committed to freedom of expression. The curriculum is designed to pursue the understanding of diverse ideas, values, cultures, and world views. The Faculty Handbook has explicit statements providing guidance on academic freedom. The HLC Review Team's discussions with faculty members made it clear that freedom of expression, both in the classroom and in all scholarly endeavors, is vitally important to them.

The Student Code of Conduct supports intellectual honesty and respect for the rights of others. The faculty appear eager to mentor students as they develop as scholars and citizens; expanding their understanding of intellectual honesty and learning how to put such understanding into practice.

In our society, there are many contentious issues that center around value differences, especially in regard to political and cultural beliefs. The faculty have worked hard to continue to foster scholarly analysis and discourse on these controversial topics. Unfortunately, there have been instances in which external groups (e.g., Turning Point and Campus Reform) have targeted faculty members in an attempt to curtail their academic freedom and scholarly judgment. The activities of such groups has gone beyond just interference and led to harassment of the targeted faculty. The team's interviews with deans and department chairs indicated that recently a faculty member received threatening correspondence and the University referred this episode to the Federal Bureau of Investigation. In addition, the University President made direct contact with this faculty member and expressed university support. In response to these external challenges, the university organized a two-day workshop at the beginning of this academic year to provide further guidance and understanding of the First Amendment in relation to instruction and other academic issues.

The HLC Review Team encourages the institution to continue to take a leadership role in confronting controversial topics. The NAU community would be well served by enhanced communication and dialog in this area between the faculty and the central administration. For example, the administration and the faculty should jointly develop explicit plans to ensure success in promoting mature and thoughtful dialog when professors are challenged in the classroom by organized external entities. It is important to anticipate and counter acts of coercion, ad hominem attacks, or abusive behavior; thus further ensuring that faculty members, students, and everyone else is free to express and defend controversial ideas.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.E - Core Component 2.E

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

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

Rating

Met

Evidence

The Office of the Vice President for Research and the Office of the Provost are responsible for oversight of integrity in the responsible acquisition, discovery, and application of knowledge. The appropriate policies and procedures are in place. Staff responsibilities are appropriate to ensure the efficacy of such oversight. For example, there are mandated programs for use of human subjects (Institutional Review Board), animal use in research (Institutional Animal Care and Use Committee), and research integrity. The institution has a misconduct in research policy based on policy from the Office of Research Integrity in the U.S. Department of Health and Human Services. Recently the President formed a University Safety Committee to review and renew the institution's commitment to safety in academic research, scholarship, and teaching.

In regard to student academic honesty, the Academic Integrity Policy is in both the Academic Catalog and the Code of Student Conduct. The required syllabus template includes information and guidance on academic honesty.

There are established and explicit procedures to deal carefully and fairly with incidents of academic dishonesty for faculty members, staff members, and students.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

2.S - Criterion 2 - Summary

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

Evidence

The HLC review committee agrees that policies and procedures are in place to guide the institution as it strives to act with integrity. It is clear that ethical and responsible conduct is highly valued and demanded in all scholarly, pedagogical, and service endeavors by faculty, students, and staff.

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

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

3.A - Core Component 3.A

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

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

Rating

Met

Evidence

NAU's implementation of its Degree Program Expectations (DPEs) has created a common process required for all degree programs, undergraduate or graduate and regardless of location or modality, that effectively drives all programs to meet a minimum standard deemed appropriate to higher education. This systematic approach sets the required levels of performance for all courses and programs that are appropriate for the student degree level being served.

All DPEs consist of six components: a degree program purpose, a degree program learning outcomes, an intentional curriculum design with curricular maps, a strategic course design, systematic assessment of degree program student learning outcomes, and the use of assessment findings for continual improvement and dissemination. The completion of these components ensures that all programs are held to the same high standards and meet the quality and learning goals regardless of location or modality.

The DPEs are subjected to two separate complementary processes that ensure that the programs and courses are current, relevant, and apply appropriate assessment measures to the degree programs. These two processes, the Curriculum Review Process and the Academic Program Review Process, require faculty on the university-level curriculum and assessment committees to review courses and programs to ensure quality on a periodic basis.

An example of the way these processes are used occurred in AY11-12, when the curriculum and assessment committee collected each program's Degree Program Student Learning Outcomes and compared them across the institution to ensure a level of consistency in form and rigor. The outcome of the comparison lead to a realization that many were too broad and did not serve their intended

purpose, in that they either did not provide adequate guidance to faculty in their teaching efforts or they did not adequately differentiate between undergraduate and graduate level outcomes in some programs. This review led to a concerted faculty effort to produce more well-articulated, explicit learning outcomes that met the expected standards.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.B - Core Component 3.B

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

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

Rating

Met

Evidence

The University's general education program, referred to as the Liberal Studies Program, has the mission to "cultivate informed, responsible, productive, engaged, and self-reflective citizens of the world." The requirements for this program are centralized so that all incoming undergraduate students must meet these requirements either through the completion of the Liberal Studies Program at NAU or through the completion of all or part of the Arizona General Education Curriculum (AGEC), which is available at the community colleges in Arizona. Of the May 2015 graduates, 65% of students who transferred to University locations outside of Flagstaff or online completed the AGEC prior to attending NAU. For those students who transferred to a degree program at the Flagstaff Campus only 7% completed the AGEC, revealing that the vast majority of students in Flagstaff participate in the Liberal Studies Program on campus.

The Liberal Studies Program consists of Foundation Requirements involving courses in English and mathematics, and four Distribution Blocks (Cultural Understanding, Science, Aesthetic and Humanistic Inquiry, and Social and Political Worlds) that make up the required coursework to meet the programmatic requirements. Each Distribution Block has a required purpose statement and learning outcomes, which serves as the standards by which courses are evaluated to determine whether they meet the requirements to be included in the Liberal Studies Program. In addition to the Foundation Requirements and the Distribution Blocks, the entire program is overlaid with the need to meet certain Liberal Studies Essential Skills that align with outcomes that employers seek in college graduates. These outcomes include critical thinking, oral communication, writing, quantitative

reasoning, scientific inquiry, and aesthetic and creative thinking skills. Every course in the various Distribution Blocks are required to contain at least one of these essential skills to qualify for inclusion into the Liberal Studies Program.

Through this multi-block curriculum, layered with the Liberal Studies Essential Skills, the institution ensures that students acquire broad knowledge, intellectual concepts, and skills that align with the University's mission. In addition, the University requires students to complete six hours from the U.S. Ethnic Diversity and Global Diversity offerings, 3 hours in U.S. Ethnic Diversity and 3 hours in Global Diversity, prior to graduation to ensure that they are well prepared to understand and interact with the diversity of the world in which that they will live and work.

While different degree programs focus upon different outcomes and skills, all undergraduate programs require students to complete a Junior Level Writing course and a Senior Capstone Experience. This requirement ensures that, regardless of major or degree program, students demonstrate mastery of disciplinary modes of inquiry or creative work--including collecting, analyzing, and communicating information--and application of disciplinary skills adaptable to changing environments.

These same skills are required to be demonstrated in all of the graduate programs, though obviously at a level appropriate to the graduate program in which the students are enrolled. All masters students do this either through the writing of a thesis or a capstone experience consisting of a large project in their particular discipline. All doctoral students must demonstrate these skills through the writing of a dissertation or an extensive hands-on clinical internship depending on the student's discipline and field.

NAU is classified as a high research doctoral university and is committed to strengthening its institutional research portfolio. The explicit goal is stated as becoming a top 200 research university in the United States. Evidence showed a significant uptick in research awards (from $47M to $55M) from FY15 to FY16 and a growth in NAU research expenditures from $26.5M to $39.6M in the past decade. As of August 2016, NAU held 29 active patents. Beyond the obvious benefits accrued by this growth, interviews with faculty revealed that this growth in research is allowing a higher level of active participation by undergraduate students in research and an improvement in their exposure to the importance of research in the intellectual world.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.C - Core Component 3.C

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

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

Rating

Met

Evidence

The institution's faculty consists of tenured, tenure-track, and non-tenure eligible faculty in sufficient numbers to carry out all the specific roles required of faculty, including oversight of curriculum, expectations of students, and assessment of student learning. The university-level curriculum and assessment committees, made of up of faculty members, plays a very specific role in the creation, evaluation, and improvement of curriculum through the University's processes.

While the University has sufficient faculty to meets its basic needs, the growth of the faculty has been somewhat lopsided. Since the last accreditation visit, the full time faculty have increased from 774 to 1094, a growth of 41%. This growth mirrors the growth of student enrollment, so as to maintain the student to full-time faculty ratio at a nearly consistent ratio of 24:1 in 2007 and 26:1 in 2017. Additionally, the institution employs 726 part-time faculty to augment its full-time faculty in 2017. A characteristic of this growth in full-time faculty has created one of the contentious issues the team encountered on campus. As is the case in many institutions, the full-time faculty in the non-tenured eligible line made up more of the growth in faculty than in the tenure-track or tenured lines. While the number of tenured faculty dropped from 443 to 428 and the tenure track faculty dropped from 138 to 106, the non-tenure eligible faculty grew from 193 to 560. While following a national trend, this change in the faculty appointment demographics of the institution has created consternation in the faculty, as they voiced a concern about the vibrancy of the tenure process and the academic future of many long term non-tenure track faculty. Other issues, such as the lack of colleagues for the few new tenure track faculty are perceived as having a negative effect on the life of faculty members.

NAU's faculty are supported by the institution in their professional development pursuits in a variety of ways. The increased research funding mentioned in 3b provides significantly more resources for faculty to follow professional pursuits that positively impact their professional development. The University's Faculty Professional Development Program provides programming throughout the academic year with 51% of the faculty attending at least one event in AY15-16. To celebrate faculty performance and individual development, the University sponsors faculty awards each year that includes the President's Distinguished Teaching Fellows, NAU Teaching Academy, and Faculty Exemplars.

The University has policies to ensure that students have access to faculty to aid them in their intellectual pursuits. Through published office hours and mandated contact information in each syllabus students know when or how they can contact their faculty. Throughout our contact with the University community, the belief in the small campus flavor of NAU shown through. Faculty, students, and staff valued the close-knit nature of the campus and what it means for student engagement. Specifically in the team's interviews with students during open forums, the students were universally happy with their faculty and their ability to connect with them as needed. Students consistently listed this as a strength of their specific degree programs and the institution as a whole.

The University has student support staff members who are well qualified and have the opportunity to participate in professional development on a regular basis. Though the programs differ between support entities, offices throughout the University appear to have strong programs to benefit their employees. Conference attendance and training opportunities at off-site events in the state appear to be available as needed. Specific mention was made to the team about the University Leadership Program and its role in meetings staff members' needs. The campus is undergoing significant change, with the reorganization and enrollment growth that are ongoing. A specific offering on program management, the Supervisor's Academy, was cited as being very helpful in preparing offices to flourish in a time of change. A specific instance of the University hiring someone with the necessary qualifications to meet campus needs was the new Director of the Office of Inclusion, Multicultural Affairs, and LBGTQIA. Issues in this area presented themselves on campus last year and the administration hired someone highly prepared to meet the challenges of the campus community. The team's interviews with students specifically mentioned this new Director's role in improving the atmosphere on campus for a number of minority groups.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.D - Core Component 3.D

The institution provides support for student learning and effective teaching.

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

Rating

Met

Evidence

While the students interviewed were very complimentary towards many of the student support services that they receive at NAU, one area of student services showed need of improvement. The advising services at NAU are in the process of reorganizing, following a larger reorganization of the University in respect to its off campus operations. While the students expressed admiration for their advisors, anecdotal evidence indicated long wait times to see an undergraduate advisor in some colleges with at least one student indicating their college had a three month wait. Conversations with the advising staff and the University's senior leadership indicated that both groups recognized the issue and are working towards a solution. The President provided the team information on an outside consultant hired to recommend specific solutions to this issue. This area, based on evidence from all parties and the planned enrollment growth of the University needs focused attention to achieve a solution.

The institution provides the infrastructure and resources to support effective teaching at this time. There is concern amongst faculty as to whether the continued growth in student enrollment will create a situation where facilities will begin to be a constraint. To make the most efficient use of classroom space, the University has moved to centralized classroom scheduling. While many faculty are not content with this model, most of the faculty members the team interviewed recognized the need for such a process and want to be involved in solving the overall issue. Students interviewed cited the high quality of laboratories and equipment, with one graduate student admitting they stayed to pursue their doctorate specifically because of a genetic sequencer the University added to the laboratory. One member of the visiting team observed that more students congregated in the main library than in the Student Union, indicating the comfortable atmosphere created in this educational space.

An analysis done by NAU provided data that showed that over 62% of the University's undergraduate programs include information literacy as an essential learning outcome. The Cline Library repeatedly came up in a positive light during the team's interviews with students and the library staff provides services to NAU students supporting effective use of research and information resources. Librarians are available in person or via online chat, email, or phone. Librarians have cooperated with faculty in creating program and course specific research guides for undergraduate students. The University provides the necessary guidance and resources to graduate students, to include making available the Collaborative Institutional Training Initiatives (CITI) modules to provide them the credentials to meet IRB standards.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.E - Core Component 3.E

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

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

Rating

Met

Evidence

NAU provides students a broad variety of opportunities to enhance their education through co-curricular programming. Similar to other large institutions, students have the choice of more than 375 different student organizations, including fraternity and sorority life, honor societies, multicultural groups, performing arts, and political and spiritual organizations. Students living on campus participate in Residential Learning Communities (RLCs), which the University has found improves student retention rates. In the fall 2015 cohort, students living in RLCs were retained at a 3.4% higher rate than their matched group. Because of the unique mountain setting of the NAU main campus and the vast array of outdoor adventures close at hand, students have access to experiential education and innovative outdoor programming that foster healthy lifestyles.

Freshman are required to participate in the First Year Seminar-Action Learning Team classes that provide them the opportunity to experience service learning through community based programming. In AY16-17 the University had 15 different Action Learning Teams in which approximately 1000 students participated in social, environmental, and economic justice programs on and off the Flagstaff campus.

A unique component at NAU is its stated goal of becoming the number one four year institution for Native American students. This year the University enrolls approximately 1500 Native American students from 127 tribal groups. The University has a Native American Cultural Center that helps these students stay connected to their cultural identity and traditions. Both the Native American Student Services Office and the Office of Native American Initiatives are housed in the Center that support students in their educational journey at NAU. New programming, such as the certificate program in Indigenous and Tribal Nation   Building or the leadership training course provide experiences for Native American students outside of their degree programs. An example of the University's commitment to this group of students is the appointment of a Vice President of Native American Initiatives to serve on the President's Executive Team.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

3.S - Criterion 3 - Summary

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

Evidence

NAU provides high quality education throughout its spectrum of program offerings and geographical locations. The University has a well organized and well rounded general education program, providing students a solid foundation for their intellectual growth.

Two areas for improvement by the institution were noted by the team. There is a growing concern amongst faculty members about the shrinking of tenure-tracked faculty positions and the corresponding growth of non-tenure eligible faculty positions. While this trend is consistent with much of higher education across the United States, attention to these concerns would be a positive step by the senior administration. Another area for improvement, identified by the institution in its Assurance Argument, is in student advising. This is being actively and aggressively approached for improvement and it should continue to be an area of focus for the institution.

4 - Teaching and Learning: Evaluation and Improvement

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

4.A - Core Component 4.A

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

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

Rating

Met

Evidence

Northern Arizona University maintains a regular practice of academic program review every seven years for all undergraduate and graduate degree programs whether offered face-to-face or through distance delivery according to the Academic Program Review Policy. Academic Program Review is guided by the Academic Program Review Guidelines that identify resources, suggested framework, and timeline. Program review is used primarily to strengthen and improve academic programs and to identify future plans and priorities. A schedule is maintained in the Office of the Vice Provost for Academic Affairs and a report is delivered annually to the ABOR. A portion of the AY14-15 ABOR summary report was provided to the team which among other things listed strengths, areas of concern, and planned action steps for several academic programs. The program faculty are responsible for

making program improvements and providing evidence of such in their annual assessment reports and the mid-cycle review. The mid-cycle review for the Psychology Department was provided. The faculty commented that they felt supported in the program review process. NAU has coupled program review, the assessment of student learning, and curriculum development in a way that involves faculty, senate review committees, and the administration. This is an area of strength and improvement since the last HLC review.

NAU publishes its transfer credit policies for undergraduate and graduate students in their Academic Catalog. The policy articulates credit that the university transcripts including credit accepted from accredited universities, ACE alternative credit, military credit, and credit by exam (AP, CIE, Challenge Exams, CLEP, DSST, and IB). The Course Equivalency Guide indicates how NAU accepts credits from Arizona higher education public institutions. Credits are also accepted through NAU's Transfer Articulation Agreements. 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. The Graduate College Transfer Credit policy requires that 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.

The Faculty Senate Bylaws clearly articulates that control of the curriculum resides with the faculty. Several Senate committees/councils including the Council on Learning, the Curriculum & Assessment Coordinating Committee, the University Graduate Committee, and the University Undergraduate Committee provide authority over the prerequisites for courses, rigor of courses, and expectations for student learning. The University Policy on Syllabi found in the Academic Catalog is designed to ensure integrity in course content across all sections and delivery modalities. NAU has recently designed a standard template for course syllabi to ensure that program faculty agree upon the purpose and learning outcomes and so that students receive consistent communication about course content and expectations. Faculty are free to design their own course syllabi, based on the course syllabus of record, that are distributed to students.

NAU provides its faculty with outstanding course development and delivery support through the coordinated efforts of the Office of Curriculum, Learning Design, and Academic Assessment and the E-Learning Center. Additional classroom and online IT support is provided through the Office of Information Technology Services. Faculty were consistently appreciative of these units and complimentary of the services they provide.

NAU's Required Qualifications for Instructional Faculty (approved September 11, 2017) clearly articulates qualifications for all tenured, tenure-track, non-tenure track, and part-time faculty. The hiring authority (chair, director, or dean) is responsible for ensuring that only qualified faculty are hired. Although this was not verified by the HLC team, NAU policy requires that documentation of the faculty qualifications must be available for verification, either on file in the hiring unit or entered into the faculty database at the time of hire. Comments from faculty and chairs indicated that this policy was being followed in the hiring of all faculty.

NAU does not offer dual credit courses.

NAU documents its specialized accreditations in the Academic Catalog. Currently NAU holds 20 specialized accreditations. All programs appear to be in good standing.

NAU evaluates the success of its graduates from undergraduate and graduate programs offered online, in Yuma, or at the Flagstaff campus in several ways. The Graduating Senior Survey administered to AY13-14 undergraduates recorded the students' perceptions of their NAU experience while on campus. Responses were positive regarding the overall NAU experience with students noting the faculty's contribution to an environment supportive of learning, challenging coursework, and use of technology. One in five graduating seniors plans to attend graduate or professional school full time, while nearly two thirds of the respondents plan to work full time after graduation.

The NAU First Destination Survey was first administered in May 2016. Acknowledging that response rates were very low, data showed that 76.5% of those graduates were working, continuing their education, volunteering, or serving in the military, while 23% were still seeking employment. Less than 1% were not seeking employment or not electing to continue their education at this time. NAU has established a Survey Project Team to address the low response rates.

The 2016 Report on Wages Earned by Arizona University System Graduates put out by the ABOR reports that the median wages for 2011-2015 NAU undergraduate students was $38,158, ranking just below the earnings of ASU graduates. The median wage for the same group of graduate students was $51,290, the lowest of the three Arizona universities.

Professional Licensure Rates published in the Academic Catalog show that NAU students have pass rates that either exceed or approach the national average. Employment rates for graduates from physicians' assistant, physical therapy, and clinical speech-language pathology programs are above 95%.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.B - Core Component 4.B

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

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

Rating

Met

Evidence

Although NAU received the 2009 CHEA award for institutional efforts to gather information on student learning, a self-study conducted by the University Assessment Committee and Office of Academic Assessment revealed a need for improvement in the area of degree program assessment. The university then embarked on a discussion that lead to Senate-approved DPE's outlining the goals for curriculum design and assessment for all programs, regardless of location or modality. Program faculty developed student learning outcomes and curriculum maps, and proceeded to analyze their curricula and courses, prior to designing (or redesigning) their assessment plans. Faculty reported that they were supported throughout this process and that in general departments were fully engaged in the curriculum design and subsequent assessment planning process. The July 2017 Achievement of Degree Program Expectations by College report showed that both undergraduate and graduate program faculty had reviewed their curricula and that nearly 50% had revised assessment plans in place, provided data, and were using the data for program improvement. The Personalized Learning program, while different in format and structure, from the face-to-face classroom experience, uses the same assessment model as all other programs. The Liberal Studies Committee conducted a self-study of the Liberal Studies program that identified the program's strengths and challenges. Challenges in the areas of curriculum and assessment are being addressed. Discussions with faculty confirmed that there was a positive shift in the culture of assessment at NAU.

In addition the CLA, ETS-PP, and NSSE were administered to assess the writing, quantitative reasoning, scientific inquiry, and scientific abilities of NAU students. In all areas, NAU students needed improvement resulting in the establishment of the Writing Center, the Interdisciplinary Writing Program, and the Math Center. NAU clearly took the results of these assessments seriously and invested in resources to support students and faculty in these critical areas.

Efforts to improve the capstone experiences of all degree programs was initiated by the Liberal Studies Committee with the goal that the capstone would integrate the undergraduate students' disciplinary and Liberal Studies experiences. As of May 2017, approximately half of the courses have

completed a review and refresh, with the others in progress. The assessment of dissertations published within the last 5 years was initiated in AY15-16 using the Dissertation Quality Survey. Results will be integrated with the other assessment data. NAU has made substantial progress in advancing meaningful assessment of its degree programs.

The assessment of co-curricular programs is housed in Enrollment Management and Student Affairs (EMSA). EMSA departments collaborated to identify the student learning and development outcomes relevant to the student activities, services, and programs in their divisions. The Divisional Report presented comprehensive assessment on all aspects of student life. Specifically in terms of student learning and development, students who lived on campus, in a Residential Learning Community, or in a Greek environment had greater gains in personal development gains than those without those living-learning experiences.

Through the Senate curriculum committees the faculty assume ownership of program assessment and improvements. The office of Curriculum, Learning Design, and Academic Assessment provides support to faculty and academic units that has led to the development of a positive culture of continuous improvement.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.C - Core Component 4.C

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

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

Rating

Met

Evidence

The performance metrics for enrollment, retention, time to graduation, and degrees awarded were set by the ABOR in November 2015. NAU's Office of Institutional Research and Analysis analyzes student data and releases official university data for student retention and completion of programs. The freshman retention rate has steadily increased since AY14-15 to a current value of 75.5%. The six-year graduation rate has climbed from 49.3% in Fall 2006 to 53.3% in Fall 2010.

NAU has developed two specific initiatives to impact student retention. 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 Quality Initiative was to systematically analyze the impact of two student success programs on the academic success of first-year students.

In addition, with the help of a consultant, NAU developed a comprehensive, three-year plan to achieve a first-year retention rate of 80% by the year 2025. This 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. In the fall of 2016, NAU implemented Civitas Learning predictive analytics tools. Currently, academic advising and student affairs mentoring programs are utilizing the tools to inform interventions and support. NAU is participating in two national projects to

help them achieve their retention and graduation targets: the AASCU Re-Imagine the First Year (RFY) initiative and the Bill and Melinda Gates Foundation-funded Frontier Set Initiative. NAU has clearly demonstrated a commitment to utilizing data to reach the student retention, persistence, and completion targets set by ABOR.

Institutional Research and Analysis' (IRA) methods are grounded in federal and state reporting practices as required by IPEDS, ABOR, and the Arizona state legislature. 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. NAU creates statistical models to identify predictors of first- to second-year retention of first-time, full-time freshmen on the Flagstaff campus. Results are shared with the university community and public via the NAU Fact Book posted on the IRA website.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

4.S - Criterion 4 - Summary

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

Evidence

NAU has invested considerable resources and made significant progress in establishing processes that support assessment, the use of data, and curriculum improvement to promote student achievement. There is a clear demonstration of shared responsibility, with substantial leadership and participation by faculty, in assuring the quality of teaching and learning. The co-curricular and student support programs are being assessed by Enrollment Management and Student Affairs. The Office of Institutional Research and Analysis collects, analyzes, and presents data that inform continuous quality improvement.

5 - Resources, Planning, and Institutional Effectiveness

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

5.A - Core Component 5.A

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

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

Rating

Met

Evidence

NAU has a sufficient resource base for its current educational programs and for meeting goals in its mission statement.

As to their fiscal resources NAU reports a Combined Financial Index (CFI) of 0.1 and 0.8 at June 30, 2016 and 2015, respectively, both considered "in the zone." From June 30, 2008 through 2014 their CFI fluctuated from 2.1 to 4.7 each year meeting HLC standards. At the time of the review, the Arizona State Audit is not complete (6/30/2016 was completed November 22, 2016). The NAU Vice President of Finance provided a 6/30/2017 CFI of 1.1 based on preliminary numbers, which meets HLC standards (Addendum File FY17_CAFR_CFI). Further evidence of NAU's adequate fiscal resources is their bond rating of A1 from Moody's and A+ from Standard & Poor's.

NAU state support per FTE has decreased from $13,757 in 2008 to $11,386 in 2016. NAU has taken steps to increase revenue and decrease expenses to offset this drop. As to revenues NAU has increased tuition, program and IT fees, and auxiliary fees for dining and housing. There has also been an increase in contributions and indirect cost recovery from grants. As to expenses NAU has closed some extended campus sites, took back vacant positions, increased upper-level review on hires, refinanced debt, and consolidated purchasing of computers.

Human, physical, and technology resources appear to be sufficient. The number of NAU faculty appears adequate based on the June 30, 2016 student-to-faculty ratio of 18 (Addendum Faculty to student ratios by campus). NAU Institutional data determined that 76% of NAU faculty have a terminal degree, some having earned it after being hired. Based on the 2017-2019 Capital Improvement Plan, NAU has 85 academic buildings with gross square feet of 3,470,378 or 133 per FTE. The number of facilities have increased 20% since 2008. Investment in technology resources is based on their 2015-2019 strategic plan which is based on NAU strategic goals. NAU ITS conducts an annual survey of faculty, students, and staff to assess computing needs.

NAU has various processes and controls to ensure that resources are used efficiently to meet NAU's strategic goals. Various university comptroller policies and procedures help to make sure university resources are spent efficiently for educational purposes. Example policies in this area are P-card, internal control resources, and conflict of interest. Controls also exist in the PeopleSoft accounting software including dollar amount level, bid-waiver process, and routing to the right approval level. Various individuals review actual and budgeted expenses to make sure that university funds are spent properly including department chairs, comptroller, internal and state auditors, and ABOR.

The NAU Comptroller's Office periodically examines the effectiveness of its system and makes changes to ensure accuracy. Through this process the Comptroller's Office made recent control improvements with PCards and administrative department system access.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.B - Core Component 5.B

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

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

Rating

Met With Concerns

Evidence

Based upon the evidence in the assurance argument, faculty, staff, and students are involved in both university governance and the setting of academic requirements, policy, and processes. For example, the President's Cabinet, which meets monthly to share information and discuss current topics, includes student government leaders and the faculty senate president. As to academic issues, the Academic Standards Committee includes faculty, staff, and students. Some Faculty Senate committees include staff and students as ex-officio members. An example is the Liberal Studies Committee which includes ex-officio staff members from e-Learning Center, University Writing Program, and Gateway Student Success Center.

While the policies and structures for shared governance do exist at NAU, based on issues identified in the Student Survey and Third Party Comments, the team examined the culture of shared governance on the NAU campus and believes that improvements are necessary. Faculty do not believe they are being provided adequate voice in decisions that affect them and staff members indicated a frustration with trying to do too much too quickly. All groups agreed that change is necessary, but there were clear questions as to how fast it had to occur and how much voice members of the University community had in those decisions and the plans for implementation. It is the belief of the team that the majority of the shared governance issues on campus revolve around improving communication between senior administrators, faculty, staff, and the student body. A specific example of this communication is the enrollment growth underway at NAU's Flagstaff campus. Groups were frustrated at the second and third order effects caused by this growth and provided us many reasons they believed the growth was occurring, but very few had heard the reason provided for us by the Regents. Their specific reasoning for growth to support gaps in the education of the Arizona workforce was unfamiliar to the groups with which the team spoke. Asked about this reasoning, the groups almost unanimously identified this as an important aspect that they had not considered.

Another example of the areas for improvement in shared governance, and the communication that is

so necessary to the process, was the twin problems of centralized classroom scheduling and multi-term scheduling. The ongoing growth on campus make both of these programs necessary, as was agreed to by the majority of staff and faculty we interviewed. Where the communication broke down was on the perceived amount of input allowed from these two important constituent groups of the University community. Both groups believe they had expertise that would assist in getting these two missions accomplished in a positive way, but did not believe they were being adequately used to help. At the same time senior administrators believed they were doing what was best for the institution and moving out to solve problems as necessary. Both of these groups are attempting to do what they see as best for the institution, but it is the evaluation of the team that most of the issues revolve around needing improved communication amongst the University community.

The team met with members of the Arizona Board of Regents and discussed that body's role in governance with the University. It is apparent that the Board provides effective oversight of NAU through its full board and committee meetings; requesting and reviewing various reports, internal audits, and review of program reviews and academic program and policy changes. The indications from the materials the team reviewed and our interviews on campus are that the Board's role is appropriate and allows the University administration to operate the campus on a day-to-day basis.

Interim Monitoring (if applicable)

An interim report is requested to include 1) documentation of the actions taken to improve communication between senior administration and the staff, faculty and students at NAU, and 2) evidence of the improvement of this communication and the resulting efficacy of shared governance at NAU. The interim report is due May 31, 2019.

5.C - Core Component 5.C

The institution engages in systematic and integrated planning.

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

Rating

Met

Evidence

Consistent with its strategic goal of student success, NAU has invested in the following technologies: SalesForce – records contacts with students and facilitates case management, Civitas Learning – predicts student persistence and helps identify barriers to student success, and Smart Planner and Jack's Path – provide platforms for students to plan out NAU courses and transfers from other programs. To further promote student success, NAU has also funded the Interdisciplinary Writing Program and the Lumberjack Mathematics Center.

The following are two specific examples of NAU colleges linking their process for evaluation of operations with planning and budgeting. The College of Social and Behavioral Sciences reviews enrollment data by program each year to establish trends of growth/decline. The college then uses this information to prioritize their need for additional faculty and to allocate funds for graduate students.

The College of Health and Human Services (CHHS) conducted a course capacity audit that indicated student enrollment growth would require additional course sections or seats in 13 courses. As a result of this audit, 13 additional courses were added to the Fall 2017 schedule. These sections were funded through NAU Online and CHHS funds.

Through its planning NAU has moved into a number of emerging areas in higher education. One example is competency-based online programs. A second example is the College of Engineering, Forestry, and Natural Sciences starting the school of Informatics, Computing, and Cyber Systems which focuses on four areas of strategic growth: cybersecurity, heterogeneous and reconfigurable systems, cyber-physical systems, and big data.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.D - Core Component 5.D

The institution works systematically to improve its performance.

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

Rating

Met

Evidence

NAU works systematically to improve its performance by documenting evidence of its performance and learning from its experiences.

NAU prepares an annual operational and financial review (OFR) which provides a summary of university performance related to six strategic goals: student success; nationally recognized research excellence; global engagement; civic engagement, community building; commitment to Native Americans; and sustainability and effectiveness. A President's Cabinet report is prepared monthly that provides gifts and pledges, grants, student data, along with budgeted/actual revenues and expenses.

NAU learns from its operational experience and the data it collects. Below are three examples. NAU IT annually sends out a survey to students to evaluate their services and identify areas to improve. In response to the need for after-hour support, ITS now provides IT support 24 a day, seven days a week. A second example is that NAU reorganized and centralized advising, partially in response to feedback from senior student surveys. A third example is that NAU is now more strategic in its surveys and set a survey policy in response to survey overload and poor response rate.

Interim Monitoring (if applicable)

No Interim Monitoring Recommended.

5.S - Criterion 5 - Summary

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

Evidence

Although NAU's state support has been cut 38% ($152.3M to $94.6M) from FY 2008 to 2016, which includes a $17.3M cut in FY16, NAU has taken appropriate steps to be able to meet its goals. Consistent with its mission NAU has invested in student success and moved into emerging higher education areas. The University documents evidence of its performance and makes changes based on this feedback.

NAU has governance and administrative structures necessary to promote effective leadership and support collaborative processes; however the Team saw evidence of a need for improvement in communication between the senior administration and the staff, faculty, and students. This gap in communication has negative consequences in the area of shared governance and needs to be corrected for the benefit of the University community.

Review Dashboard

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

Review Summary

Interim Report(s) Required

Due Date
5/31/2019

Report Focus
An interim report is requested to include 1) documentation of the actions taken to improve communication between senior administration and the staff, faculty and students at NAU, and 2) evidence of the improvement of this communication and the resulting efficacy of shared governance at NAU.

Conclusion

The Team's overall view of NAU was very positive. We were struck by the consistent positive attitude when we met with administration, staff, faculty, and students. Even when there were comments about communication or advising issues, the conversation always came back to what a wonderful place NAU is and how much they value the institution and the surrounding community. There is a tremendous amount of pride for the institution and a positive outlook on the potential future.

While the Team has recommended a monitoring report, we believe that with the necessary hard work the issue of communication can be overcome and create an even more impressive environment at NAU. Also of note is the exceptionally well prepared Assurance Argument that the institution provided. All those involved are to be commended.

Overall Recommendations

Criteria For Accreditation
Met With Concerns

Sanctions Recommendation
No Sanction

Pathways Recommendation
Eligible to choose

Federal Compliance Worksheet for Evaluation Teams

Evaluation of Federal Compliance Components

The team reviews each item identified in the *Federal Compliance Filing by Institutions* (FCFI) and documents its findings in the appropriate spaces below. Teams should expect institutions to address these requirements with brief narrative responses and provide supporting documentation where necessary. Generally, if the team finds in the course of this review that there are substantive issues related to the institution's ability to fulfill the Criteria for Accreditation, such issues should be raised in the appropriate parts of the Assurance Review or Comprehensive Quality Review.

This worksheet is to be completed by the peer review team or a Federal Compliance reviewer in relation to the federal requirements. The team should refer to the *Federal Compliance Overview* for information about applicable HLC policies and explanations of each requirement.

Peer reviewers are expected to supply a rationale for each section of the Federal Compliance Evaluation.

The worksheet becomes an appendix in the team report. If the team recommends monitoring on a Federal Compliance Requirement in the form of a report or focused visit, the recommendation should be included in the Federal Compliance monitoring sections below and added to the appropriate section of the Assurance Review or Comprehensive Quality Review.

Institution under review: Northern Arizona University

Please indicate who completed this worksheet:

☐ Evaluation team

☒ Federal Compliance reviewer

To be completed by the Evaluation Team Chair if a Federal Compliance reviewer conducted this part of the evaluation:

Name: James B. Martin

☒ I confirm that the Evaluation Team reviewed the findings provided in this worksheet.

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Assignment of Credits, Program Length and Tuition
(See FCFI Questions 1–3 and Appendix A)

1. Complete the *Team Worksheet for Evaluating an Institution's Assignment of Credit Hours and Clock Hours*. Submit the completed worksheet with this form.

   - Identify the institution's principal degree levels and the number of credit hours for degrees at each level (see the institution's Appendix A if necessary). The following minimum number of credit hours should apply at a semester institution:

     o Associate's degrees = 60 hours

     o Bachelor's degrees = 120 hours

     o Master's or other degrees beyond the bachelor's = At least 30 hours beyond the bachelor's degree

   - Note that 1 quarter hour = 0.67 semester hour.

   - Any exceptions to this requirement must be explained and justified.

   - Review any differences in tuition reported for different programs and the rationale provided for such differences.

2. Check the response that reflects the evaluation team or Federal Compliance reviewer's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The Northern Arizona University offers the types of degrees as shown below:

- Bachelor degrees which require a minimum of 120 credits (Policy Number: 100801)
- Master's degree programs require a minimum 30 credit units beyond the bachelor's degree (Policy Number: 100811).
- Doctoral degrees require a minimum 60 credit units (Policies 100802, 100803, 100804, 100805, 100815).
- Review of the programs indicated that they follow typical programs in higher education and as stated in the documents provided,
- Many graduate degree programs require more than these minimum credit units, as graduate degree requirements vary by discipline and may be dictated by established criteria in the field

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of specialized accrediting body requirements (e.g., Doctor of Physical Therapy, Doctor of Occupational Therapy).

- The unit of credit, defined by the Arizona Board of Regents, is the cornerstone of Northern Arizona University's academic degree plans.
- As documented, tuition is currently differentiated by campus, term, academic career (undergraduate or graduate), type of delivery (Personalized Learning versus online), and residency. Tuition rates are published on Northern Arizona University's website as well as the Student and Departmental Account Services http://nau.edu/SDAS/Tuition-Fees/

Additional monitoring, if any:

N/A

Institutional Records of Student Complaints
(See FCFI Questions 4–7 and Appendixes B and C)

1. Verify that the institution has documented a process for addressing student complaints and appears to by systematically processing such complaints, as evidenced by the data on student complaints since the last comprehensive evaluation.

   - Review the process that the institution uses to manage complaints, its complaints policy and procedure, and the history of complaints received and resolved since the last comprehensive evaluation by HLC.

   - Determine whether the institution has a process to review and resolve complaints in a timely manner.

   - Verify that the evidence shows that the institution can, and does, follow this process and that it is able to integrate any relevant findings from this process into improvements in services or in teaching and learning.

   - Advise the institution of any improvements that might be appropriate.

   - Consider whether the record of student complaints indicates any pattern of complaints or otherwise raises concerns about the institution's compliance with the Criteria for Accreditation or Assumed Practices.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate

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reference).

- Northern Arizona University has an established process for addressing student complaints. The procedures are appropriate including identification of staff member to contact and guidelines for addressing and resolving complaints.

- The Federal Compliance Filling states that a student wanting to file a grievance must do so in writing. It is stated that Northern Arizona University is dedicated to treating all students courteously and equally
.	The university has a Student Complaint Collection and Retention Policy (Policy Number 100211) providing guidelines for the collection and record retention of written and signed student complaints submitted to an institutional officer of Northern Arizona University. It was stated that the purpose of the policy is to provide a mechanism for tracking the timeliness of responses to complaints as well as the outcome of complaints. In addition, this policy provides a mechanism for identifying patterns or systemic problems with institutional quality or with factors related to the General Institutional Requirements or Criteria for Accreditation. Definitions from the current policy include the following:
• Complaint Log - a confidential record of student complaints which identifies the persons involved with individual complaints and the outcomes of the complaints.
• Student complaint - focused principally on complaints made formally in writing, signed by a student, and addressed to and submitted to an institutional officer with the responsibility to handle the complaint.
• Institutional Officer – a vice president, dean, department chair or anyone in an administrative role who has the responsibility to handle the complaint.
Offices responsible for record retention of student complaints for Northern Arizona University include the following:
• The Office of the Provost and Vice President for Academic Affairs
• The Office of Enrollment Management and Student Affairs
It is stated that the Office of the President and Vice Presidents should route student complaints to one of the institutional offices listed.
The information provided stated that until fall 2016, student complaints were processed and tracked in a decentralized manner across campus but improvement has been made.
In order to improve the management of student complaints, the university developed a centralized webpage that has explanations of each type of process and links to each unit to aid in selecting the most appropriate process to resolve the student's issue.
Formal Complaint Process for NAU Students: http://www.nau.edu/student-affairs/Formal-Compliant- Process-for-NAU-Students/welcome/
The Office of Equity and Access for Complaints of Discrimination or Harassment
https://nau.edu/equityand-access/make-a-complaint/
NAU Police Department Citizen Complaint http://nau.edu/Police/Citizen-Complaint/
Student Complaint Collection and Retention Policy
https://policy.nau.edu/policy/policy.aspx?num=100211
Enrollment Management and Student Affairs Student Grievance Policy/Procedure
Student Athlete Handbook 2015-16 (Page 22) - Appendix B

Additional monitoring, if any:

N/A

Publication of Transfer Policies
(See FCFI Questions 8–10 and Appendixes D–F)

1. Verify that the institution has demonstrated it is appropriately disclosing its transfer policies to students and to the public. Policies should contain information about the criteria the institution uses to make transfer decisions.

   - Review the institution's transfer policies.

   - Review any articulation agreements the institution has in place, including articulation agreements at the institution level and for specific programs and how the institution publicly discloses information about those articulation agreements.

   - Consider where the institution discloses these policies (e.g., in its catalog, on its website) and how easily current and prospective students can access that information.

   - Determine whether the disclosed information clearly explains any articulation arrangements the institution has with other institutions. The information the institution provides to students should explain any program-specific articulation agreements in place and should clearly identify program-specific articulation agreements as such. Also, the information the institution provides should include whether the articulation agreement anticipates that the institution (1) accepts credits from the other institution(s) in the articulation agreement; (2) sends credits to the other institution(s) in the articulation agreements; (3) both offers and accepts credits with the institution(s) in the articulation agreement; and (4) what specific credits articulate through the agreement (e.g., general education only; pre-professional nursing courses only; etc.). Note that the institution need not make public the entire articulation agreement, but it needs to make public to students relevant information about these agreements so that they can better plan their education.

   - Verify that the institution has an appropriate process to align the disclosed transfer policies with the criteria and procedures used by the institution in making transfer decisions.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

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- Northern Arizona University's transfer policies are available on its web site and its catalog. NAU provides several resources regarding transfer policies According to the University's Federal Compliance Filing,
- Northern Arizona University discloses information to students and the general public regarding transfer policies, procedures and information outlining measures used to make transfer decisions in the following places:
- Academic Catalog: The Transfer and Test Credits policy (Number 100224) includes information about undergraduate transfer credit, credit-by-exam, general requirements for credit-by-exam, credit for advanced placement exams, college level exam program (CLEP) for general and subject exams, college level exam program, DSST (formerly known as the DANTES subject standardized test), challenge and supplemental exams, and International Baccalaureate (IB) diploma and certificate credit.
- Academic Catalog: The Transfer Credit—Graduate Students policy (Number 100336) includes information about graduate transfer credit and other related policies.
- Undergraduate Admission and Orientation: The Transfer students website
- http://nau.edu/admissions/getting-started/requirements/transfers/ provides general information about transferring to NAU.
- Center for International Education for International Admission: The Transfer students/Transfer credit policy https://nau.edu/cie/international-admissions/transfer-student-information/ provides information about transferring to NAU specifically for international students. The information meets the compliance requirements.

Additional monitoring, if any:

N/A

Practices for Verification of Student Identity
(See FCFI Questions 11–16 and Appendix G)

1. Confirm that the institution verifies the identity of students who participate in courses or programs provided through distance or correspondence education. Confirm that it appropriately discloses additional fees related to verification to students, and that the method of verification makes reasonable efforts to protect students' privacy.

   - Determine how the institution verifies that the student who enrolls in a course is the same student who submits assignments, takes exams and earns a final grade. The team should ensure that the institution's approach respects student privacy.

   - Check that any costs related to verification (e.g., fees associated with test proctoring) and charged directly to students are explained to the students prior to enrollment in distance or correspondence courses.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

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☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

- The Federal Compliance Filling states that NAU uses a two-step process to verify the identity of its for-credit distance students through an electronic central authentication system (CAS) with login and password. All NAU students who participate in for credit distance education courses and programs are admitted to the institution through the regular campus admission process.

  NAU has institutional policies and procedures that address the verification of student identity. Two policies and a general procedure are used for the verification of student identity:
- The Academic Integrity Policy describes the students' adherence to a set of values which are grounded in honesty with respect to all intellectual efforts of oneself and others regardless of the venue (including distance education) or type of academic undertaking. Students agree to abide by the terms of this policy as a condition of enrollment at NAU. Within this policy is the Guidelines for Students, where the General Responsibilities clearly list expectations and violations which include such examples as:
- Taking an examination in another student's name or having another person take one for a student
- Possession of a "cheat sheet" or other prohibited assistance (calculator, cell phone, text messaging, etc.) during an examination
- The Network Acceptable Use Policy for Students lists prohibited activities and states the potential disciplinary consequences for misuse of computing resources that affect the University's pursuit of its educational objectives.
- NAU uses a general procedure to verify student identity, and in some cases a second level of verification depending upon the distance education degree plan.
  .

Additional monitoring, if any:

N/A

Title IV Program Responsibilities
(See FCFI Questions 17–24 and Appendixes H–Q)

1. This requirement has several components the institution must address.

   - The team should verify that the following requirements are met:

     o **General Program Requirements.** The institution has provided HLC with information about the fulfillment of its Title IV program responsibilities, particularly findings from any review activities by the Department of Education. It has, as necessary, addressed any issues the Department has raised regarding the institution's fulfillment of its responsibilities.

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- **Financial Responsibility Requirements.** The institution has provided HLC with information about the Department's review of composite ratios and financial audits. It has, as necessary, addressed any issues the Department has raised regarding the institution's fulfillment of its responsibilities in this area. (Note that the team should also be commenting under Criterion 5 if an institution has significant issues with financial responsibility as demonstrated through ratios that are below acceptable levels or other financial responsibility findings by its auditor.)

- **Default Rates.** The institution has provided HLC with information about its three-year default rate. It has a responsible program to work with students to minimize default rates. It has, as necessary, addressed any issues the Department has raised regarding the institution's fulfillment of its responsibilities in this area. Note that for 2012 and thereafter, institutions and teams should be using the three-year default rate based on revised default rate data published by the Department in September 2012; if the institution does not provide the default rate for three years leading up to the comprehensive evaluation visit, the team should contact the HLC staff.

- **Campus Crime Information, Athletic Participation and Financial Aid, and Related Disclosures.** The institution has provided HLC with information about its disclosures. It has demonstrated, and the team has reviewed, the institution's policies and practices for ensuring compliance with these regulations.

- **Student Right to Know/Equity in Athletics.** The institution has provided HLC with information about its disclosures. It has demonstrated, and the team has reviewed, the institution's policies and practices for ensuring compliance with these regulations. The disclosures are accurate and provide appropriate information to students. (Note that the team should also be commenting under Criterion 2, Core Component 2.A if the team determines that the disclosures are not accurate or appropriate.)

- **Satisfactory Academic Progress and Attendance Policies.** The institution has provided HLC with information about its policies and practices for ensuring compliance with these regulations. The institution has demonstrated that the policies and practices meet state or federal requirements and that the institution is appropriately applying these policies and practices to students. In most cases, teams should verify that these policies exist and are available to students, typically in the course catalog or student handbook and online. Note that HLC does not necessarily require that the institution take attendance unless required to do so by state or federal regulations but does anticipate that institutional attendance policies will provide information to students about attendance at the institution.

- **Contractual Relationships.** The institution has presented a list of its contractual relationships related to its academic programs and evidence of its compliance with HLC policies requiring notification or approval for contractual relationships. (If the team learns that the institution has a contractual relationship that may require HLC approval and has not received HLC approval, the team must require that the institution complete and file the change request form as soon as possible. The team should direct the institution to review the Substantive Change Application for Programs Offered Through Contractual Arrangements on HLC's website for more information.)

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- o **Consortial Relationships.** The institution has presented a list of its consortial relationships related to its academic programs and evidence of its compliance with HLC policies requiring notification or approval for consortial relationships. (If the team learns that the institution has a consortial relationship that may require HLC approval and has not received HLC approval, the team must require that the institution complete and file the form as soon as possible. The team should direct the institution to review the Substantive Change Application for Programs Offered Through Consortial Arrangements on HLC's website for more information.)

- Review all of the information that the institution discloses having to do with its Title IV program responsibilities.

- Determine whether the Department has raised any issues related to the institution's compliance or whether the institution's auditor has raised any issues in the A-133 about the institution's compliance, and also look to see how carefully and effectively the institution handles its Title IV responsibilities.

- If the institution has been cited or is not handling these responsibilities effectively, indicate that finding within the Federal Compliance portion of the team report and whether the institution appears to be moving forward with the corrective action that the Department has determined to be appropriate.

- If issues have been raised concerning the institution's compliance, decide whether these issues relate to the institution's ability to satisfy the Criteria for Accreditation, particularly with regard to whether its disclosures to students are candid and complete and demonstrate appropriate integrity *(Core Components 2.A and 2.B)*.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC's requirements.

☐ The institution meets HLC's requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

Under the General Program Responsibilities, the filled Compliance report states that NAU offers easy access to a wide variety of disclosure information for Consumer Information via the NAU homepage under Policies and at each university webpage under Student Services (Student Consumer Info). The information is maintained by the Office of Institutional Research and Analysis (IRA) and includes public access information on: Reporting and Disclosure Categories, General Institutional Information, Student Financial Assistance, Health and Safety, and Student Outcomes. Reporting/Disclosure link and contact office is also available for each respective area. IRA's website (http://nau.edu/Institutional-Research/higher-education-act/)

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NAU participates in the following Title IV programs: Pell Grant, Pell Grant, Federal Direct Stafford Loan, Direct PLUS Loan, Federal Supplemental, Educational Opportunity Grant, Federal Work Study, Perkins Loans.

The university has not been the subject of a Title IV Program Review by the Department of Education. The same holds true for any inspections by the Office of the Inspector General. No inspections have been conducted since the last HLC comprehensive evaluation. The document provided states that, "the current status of NAU's Title IV program is in good standing, and the latest dated Eligibility and Certificate Approval Report is November 29, 2016."

NAU's composite financial indicators (CFI) requested and received for FY12 is 2.3, FY13 is 2.1, and FY14 is 2.2. The ratios demonstrate the financial health of the institution for the three years referenced. The ratios exceed the minimum 1.0 threshold. For FY15 (0.8) and FY 16 (0.1) the CFI was below the minimum 1.0 threshold. However, the CFI for FY17, based on preliminary numbers from the Vice President of Finance (the audit was not complete at the time of the review) improved to 1.1, above the minimum threshold, which demonstrates the current financial health of the institution.

In the Compliance report, the university stated that "The OMB Circular A-133 audit is part of the State of Arizona Single Audit report for which Northern Arizona University is just one agency. Due to delay in financial statements by another state entity, the State of Arizona Consolidated Annual Financial Report (CAFR) and, subsequently, the Single Audit were delayed. The report was not released until June 23, 2016. The EZaudit was not completed until that time as well. The Department has not communicated any concerns regarding composite ratios or financial audits to the university for FY15."

The student loan default rates for "2013 3-year official 6.7%, 2012 3-year official 7.3%, 2011 3-year official 10.2%." The university stated in the Compliance report that, "NAU recognizes that our default rates are slightly higher than that of our peer institutions, and they are in line with the national public default rates. In order to decrease our default rates, we began working with Inceptia in the fall of 2014. We also provide to students a Loan Repayment Workshop at no charge and is designed to teach students about benefits of paying back their loans, as well as provide basic information on what to do once students graduate, such as how to complete exit counseling, identify their federal loan servicer, when they will enter repayment, among other information."

The Office of Institutional Research and Analysis (IRA) reviews and manages NAU's Higher Education Opportunity Act website (http://nau.edu/Institutional-Research/higher-education-act/) and is responsible for ensuring Title IV disclosures are regularly compiled and published. At least twice a year (spring/fall semesters), IRA reviews data in each of the functional areas noted in the Reporting/Disclosure information to ensure the most current information is being provided. If issues are identified, IRA contacts the respective office to request updated information.

At NAU, the campus crime report is prepared by the Director of Clery Compliance, which is housed in the NAU Police Department (NAU PD). The report provides information to the campus community about crime reporting procedures, various policies, crime prevention programs, and campus crime statistics. By October 1st of each year, this report is made available to all current

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students and employees, as well as to any prospective employee or student. In 2013, the Violence Against Women Reauthorization Act (VAWA) amended the Clery Act to require institutions to compile statistics for incidents of domestic violence, dating violence, sexual assault, and stalking; and to include certain policies, procedures, and programs pertaining to these incidents in their annual security reports.

In the Compliance report, NAU stated that the institution has been a subject of a federal investigation related to required disclosures (Title IV responsibilities).
"On January 10, 2011, the Department of Education opened a program review to assess Northern Arizona University's (NAU) compliance with the Jeanne Clery Disclosure of Crime Security Policy and Campus Crime Statistics Act (Clery Act), the Drug-Free Schools and Communities Act (DFSCA), and the department's implementing regulations.
On September 13, 2016, the Department of Education sent a letter to NAU's President Cheng, indicating the Department of Education had Administratively Closed the program review of NAU and found it to be within compliance."
The information disclosed to students and made available to the public is in Appendix M

Information related to Student Right to Know/Equity in Athletics, etc., is monitored and maintained by the Office of Institutional Research and Analysis (IRA) which reviews and manages NAU's Higher Education Opportunity Act website (http://nau.edu/Institutional-Research/higher-education-act/) and is responsible for ensuring Title IV disclosures are regularly compiled and published. At least twice a year (spring/fall semesters), IRA reviews data in each of the functional areas noted in the Reporting/Disclosure information to ensure the most current information is being provided. If issues are identified, IRA contacts the respective office to request updated information.

The Federal Compliance Filling indicates that Satisfactory Academic Progress (SAP) at NAU "is evaluated annually by the Office of Scholarships and Financial Aid after the posting of spring semester grades. Financial aid for the following academic year is not awarded until the evaluation process is complete and confirmation of three standards has been met:
Pace of Progress, Cumulative Grade Point Average, and Maximum Timeframe
Students new to NAU are also evaluated on satisfactory academic progress upon admission to the institution and submission of their FAFSA. Incoming transfer students and returning students are affected the most due to college or university enrollment history. All students receiving financial assistance are evaluated and notified via email and/or mail in late May of each year, regardless of the type of assistance received. Each student's SAP status is listed in their Lumberjack Online University Information Environment (LOUIE) account."

Northern Arizona University currently has no contractual agreements with unaccredited third party entities.

Northern Arizona University does not currently participate in any consortial relationships with other accredited entities.

Additional monitoring, if any:

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Required Information for Students and the Public
(See FCFI Questions 25–27 and Appendixes R and S)

1. Verify that the institution publishes accurate, timely and appropriate information on institutional programs, fees, policies and related required information. Verify that the institution provides this required information in the course catalog and student handbook and on its website.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

Required information for students and public is available on the institution's website. Catalogs and student handbook are accessible online. The website has information on the campus in general, academic programs and degrees, class schedule, program plans, admission, required disclosure information, etc.
Course catalogs and student handbooks (Appendix R).
Academic Catalog: http://catalog.nau.edu/
Academic Catalog/Courses http://catalog.nau.edu/Courses/index
Student Handbook https://nau.edu/student-life/student-handbook/
Graduate College Policies and Handbook http://nau.edu/GradCol/Policies-and-Forms/Policies/
NAU stated that, required consumer information is prepared by various campus units and reviewed and managed by the Office of Institutional Research and Analysis (IRA). Links to the required disclosure information are organized based on the recommendation of the National Postsecondary Education Cooperative's report, "Information Required to be Disclosed under the Higher Education Act of 1965: Suggestions for Dissemination (NPEC 2010831REV)." The links can be accessed from the IRA Higher Education Opportunity Act website http://nau.edu/Institutional-Research/higher-education-act/. Prospective students and employees can also easily access the information at the bottom of the NAU homepage under "policies" and at the bottom of all NAU webpages under "student services/student consumer info" directed to the IRA Higher Education Opportunity Act website.

The NAU Catalog is available from the NAU website at http://catalog.nau.edu/. The Catalog contains information about degree requirements, program fees, academic policies, course descriptions, academic plans, etc. The Catalog also provides additional information such as careers,

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campus availability, advising contacts, and residential learning communities. The Catalog website has links for "Next Steps" that include tuition and cost, scheduling a visit, and applying. College websites are also linked to the Catalog homepage. The catalog has polices related to undergraduate, NAU's Catalog is updated as-needed.

Information on programs/services is also made available to students through the Student Handbook and Graduate College Polices and Handbook. The Student Handbook (https://nau.edu/student-life/studenthandbook/), revised on an on-going basis, contains policies and procedures related to rules and regulations concerning student behavior. The Graduate College Policies and Handbook (http://nau.edu/GradCol/Policies-and-Forms/Policies/), revised as needed, offers resources related to enrollment, residency, theses and dissertations. It also provides polices and handbooks for graduate students.

The NAU Factbook which is available at http://nau.edu/Institutional-Research/Fact-Book/ contains a wide range of information about NAU, student success, graduation rates, etc. The university also maintains a single point of contact website for required disclosure information for information on the Higher Education Opportunity Act and other requirements at the bottom of the NAU homepage under "Policies" and at thebottom of all NAU webpages under "Student Services" in the "Student Consumer Info" link.

Current and prospect students can access current policies about institutional programs, fees, and policies through the academic catalog that is updated on an as needed basis by the Office of the Vice Provost for Teaching, Learning Design and Assessment.

The Office of Institutional Research and Analysis updates information on the Higher Education Opportunity. The NAU Quick Facts and Fact Book are published annually. Information on these policies and procedures is in Appendix S.

Additional monitoring, if any:

N/A

Advertising and Recruitment Materials and Other Public Information
(See FCFI Questions 28–31 and Appendixes T and U)

1. Verify that the institution has documented that it provides accurate, timely and appropriately detailed information to current and prospective students and the public about its accreditation status with HLC and other agencies as well as about its programs, locations and policies.

   - Review the institution's disclosure about its accreditation status with HLC to determine whether the information it provides is accurate, complete and appropriately formatted and contains HLC's web address.

   - Review the institution's disclosures about its relationship with other accrediting agencies for accuracy and for appropriate consumer information, particularly regarding the link between specialized/professional accreditation and the licensure necessary for employment in many professional or specialized areas.

   - Review the institution's catalog, brochures, recruiting materials, website and information provided by the institution's advisors or counselors to determine whether the institution provides accurate, timely and appropriate information to current and prospective students about its programs, locations and policies.

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- Verify that the institution correctly displays the Mark of Affiliation on its website.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC's requirements.

☐ The institution meets HLC's requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

Information on advertising and recruiting materials referenced is stated as follow:
"At Northern Arizona University, recruitment materials are typically produced in collaboration between University Marketing and the units responsible for student recruitment: Undergraduate Admissions and Orientation and EMSA Communications, Graduate College (graduate student recruitment), and Center for International Education (international undergraduate student recruitment). In addition, there is coordination among university leadership and staff from Enrollment and Student Services to develop materials targeting primarily time- and place-bound learners for online programs, Personalized Learning, and programs delivered through community campuses across the state."
NAU uses email, direct mail, print publications, social media, the university website, digital advertising etc., to communicate about admissions requirements, application process, cost and financial aid, colleges and academic program options, campus environment and many other aspects of the university to prospective students.
The recruitment process and marketing efforts by the university involve the use of various media channels (Appendix T).

The university publishes its association and accreditation by HLC at http://nau.edu/provost/accreditation/institutional-accreditation/, and http://nau.edu/About/Who-We-Are/Facts/
The undergraduate recruitment (2016-2017 efforts) at http://chooseyou.nau.edu/.
Information about admissions and recruiting can be found at http://nau.edu/admissions/, http://ec.nau.edu/BachelorsDegreePrograms.aspx, http://ec.nau.edu/OnlineDegrees.aspx, and http://nau.edu/cie/international-admissions/.
Graduate programs include http://nau.edu/gradcol/ and http://ec.nau.edu/MastersDegreePrograms.aspx.
Information provided indicates that recruitment materials are updated yearly to ensure timely and accurate information for prospective students and families (Appendix U).

Additional monitoring, if any:

N/A

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Review of Student Outcome Data
(See FCFI Questions 32−35 and Appendix V)

1. Review the student outcome data the institution collects to determine whether they are appropriate and sufficient based on the kinds of academic programs the institution offers and the students it serves.

   - Determine whether the institution uses this information effectively to make decisions about planning, academic program review, assessment of student learning, consideration of institutional effectiveness and other topics.

   - Review the institution's explanation of its use of information from the College Scorecard, including student retention and completion and the loan repayment rate.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

NAU's Office of Institutional Research and Analysis (IRA) collects and summarizes information on student retention, persistence, and degree completion for both first-time, full-time, first-year students and transfer students in fall and spring terms.
The NAU's document indicates improvement with its freshman retention rate of 75% for fall 2015 and an increase of the six-year graduation rate from 49.3% for the fall 2006 cohort to 53.3% for the fall 2010 cohort. The IRA's Office analyzes student data and provides official university rates for student retention and completion of programs. Multiple reports (graduation rate, transfer, etc.) are available on the IRA website. NAU also tracks degrees awarded by college and department. The IRA data process is a typical practice in institutions of higher learning.

Post-Graduate Employment/Student Outcomes: NAU's 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. NAU states that "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." In an effort to provide needed help to students, NAU also states that, "NAU's College of Engineering, Forestry and Natural Sciences has a staff member focused on career issues. This includes helping students, student groups, and professors with career education including one-on-one and group sessions on resume & cover letter writing as well as mock interviews and job search strategies. They also work with employers to both develop recruitment relationships and facilitate recruitment activities on campus and off.."

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With regards to job placement information, the compliance report states that "IRA collects data annually from Arizona's Department of Economic Security for ABOR's annual report, Wages Earned by Arizona University System Graduates. In the 2016 report, of NAU resident undergraduates who earned bachelor's degrees, 81.6% were employed in Arizona."

In terms of the National Exams and Licensure, it is stated in the document reviewed that, "several academic disciplines monitor student success and achievement of program level outcomes through the use of national exams or licensures." The performance of the NAU students on licensure exams is high/strong as noted in the document provided.

Additional monitoring, if any:

N/A

Publication of Student Outcome Data
(See FCFI Questions 36–38)

1. Verify that the institution makes student outcome data available and easily accessible to the public. Data may be provided at the institutional or departmental level or both, but the institution must disclose student outcome data that address the broad variety of its programs.

   - Verify that student outcome data are made available to the public on the institution's website—for instance, linked to from the institution's home page, included within the top three levels of the website or easily found through a search of related terms on the website—and are clearly labeled as such.

   - Determine whether the publication of these data accurately reflects the range of programs at the institution.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

   ☒ The institution meets HLC's requirements.

   ☐ The institution meets HLC's requirements, but additional monitoring is recommended.

   ☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

   ☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

NAU student outcome data is made available to the students and the public through the institution's website. According to the information provided, NAU ensures the publication of student outcome data at Student Consumer Info at the bottom of the homepage under "Policies" and at the bottom of each NAU webpage under "Student Services." As referenced previously, IRA reviews and manages the

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institution's website on student outcome data and is responsible for ensuring student outcome data is regularly reviewed, compiled, and published. At least twice a year (spring/fall semesters), IRA reviews data in each of the student outcomes areas to ensure the most current information is made available. If issues are identified, IRA contacts the respective office to request updated information.

A wide range of undergraduate education student outcomes is analyzed and published through reports on retention and graduation rates overall and by college, department, and academic plan. It is a common practice that the reports are done with the use of nationally recognized protocols defined by IPEDS. Information with regards to transfer and part-time student outcomes are available as well from the Office of Institutional Research and Analysis.

The links to the webpage(s) that contains the student outcome data.
http://nau.edu/Institutional-Research/higher-education-act/
http://nau.edu/Institutional-Research/Retention-Rates/
https://www.nau.edu/Institutional-Research/Graduation-Rates/
https://www.nau.edu/Institutional-Research/Reports/
https://www.nau.edu/Institutional-Research/Surveys/
http://www.collegeportraits.org/AZ/NAU
https://nces.ed.gov/collegenavigator/?q=northern+arizona+university&s=all&id=105330
http://www.studentachievementmeasure.org/participants/105330
https://policy.nau.edu/policy/policy.aspx?num=100212

Additional monitoring, if any:

N/A

Standing With State and Other Accrediting Agencies
(See FCFI Questions 39−40 and Appendixes W and X)

1. Verify that the institution discloses accurately to the public and HLC its relationship with any other specialized, professional or institutional accreditors and with all governing or coordinating bodies in states in which the institution may have a presence.

   The team should consider any potential implications for accreditation by HLC of a sanction or loss of status by the institution with any other accrediting agency or of loss of authorization in any state.

   Note: If the team is recommending initial or continued status, and the institution is now or has been in the past five years under sanction or show-cause with, or has received an adverse action (i.e., withdrawal, suspension, denial or termination) from, any other federally recognized specialized or institutional accreditor or a state entity, then the team must explain the sanction or adverse action of the other agency in the body of the assurance section of the team report and provide its rationale for recommending HLC status in light of this action.

   - Review the list of relationships the institution has with all other accreditors and state governing or coordinating bodies, along with the evaluation reports, action letters and interim monitoring plans issued by each accrediting agency.

   - Verify that the institution's standing with state agencies and accrediting bodies is appropriately disclosed to students.

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- Determine whether this information provides any indication about the institution's capacity to meet HLC's Criteria for Accreditation. Should the team learn that the institution is at risk of losing, or has lost, its degree or program authorization in any state in which it meets state presence requirements, it should contact the HLC staff liaison immediately.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC's requirements.

☐ The institution meets HLC's requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

NAU maintains specialized accreditations with 41 accredited programs. The information is available in the Academic Catalog. ABET accredits 12 programs in the College of Engineering, Forestry, and Natural Sciences. The W. A. Franke College of Business maintains accreditation with the Association to Advance Collegiate Schools of Business (AACSB). NAU has attained accreditation from the Council for the Accreditation of Educator Preparation (CAEP). It is stated that, academic programs are expected to pursue accreditation, if an appropriate accrediting agency exists.

NAU makes its standing with state agencies and accrediting bodies available to students through the catalog as well as on the Student Consumer Info website.

Specialized accreditation information is listed here:
http://nau.edu/provost/accreditation/program-accreditations/
https://policy.nau.edu/policy/policy.aspx?num=100212
State authorization information is listed here:
https://nau.edu/academic-authorization-compliance/state-authorization-compliance/

Additional monitoring, if any:

N/A

Public Notification of Opportunity to Comment
(FCFI Questions 41–43 and Appendix Y)

1. Verify that the institution has made an appropriate and timely effort to solicit third-party comments. The team should evaluate any comments received and complete any necessary follow-up on issues raised in these comments.

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Note: If the team has determined that any issues raised by third-party comments relate to the team's review of the institution's compliance with the Criteria for Accreditation, it must discuss this information and its analysis in the body of the assurance section of the team report.

- Review information about the public disclosure of the upcoming visit, including copies of the institution's notices, to determine whether the institution made an appropriate and timely effort to notify the public and seek comments.

- Evaluate the comments to determine whether the team needs to follow up on any issues through its interviews and review of documentation during the visit process.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC's requirements.

☐ The institution meets HLC's requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

Materials reviewed confirmed that the university published notices and provided opportunity for members of the public to comment. This is in compliance with the format prescribed in the Procedure on Third-Party Comments.
As stated in the material provided, "notices were placed in four newspapers to solicit comments from the general public: Arizona Republic, Prescott Courier, Flagstaff Daily Sun, and Yuma Sun. NAU students were notified via campus email and in the student newspaper, Lumberjack. Faculty and staff received notification in NAU News and through campus email. Parents were notified through the "Backpack" newsletter while the Alumni Director sent email notification for comments to alumni. Business, community, and education leaders were notified for comments by letters sent through email." Information with regards to the public notices of the Opportunity to Comment that were made by the university is in Appendix Y. The On-site Team is encouraged to review comments that were received.

Additional monitoring, if any:

N/A

Competency-Based Programs Including Direct Assessment Programs/Faculty-Student Engagement
(See FCFI Questions 44−47)

1. Verify that students and faculty in any direct assessment or competency-based programs offered by the institution have regular and substantive interactions: the faculty and students communicate

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on some regular basis that is at least equivalent to contact in a traditional classroom, and that in the tasks mastered to assure competency, faculty and students interact about critical thinking, analytical skills, and written and oral communication abilities, as well as about core ideas, important theories, current knowledge, etc. (Also, confirm that the institution has explained the credit hour equivalencies for these programs in the credit hour sections of the Federal Compliance Filing.)

- Review the list of direct assessment or competency-based programs offered by the institution.

- Determine whether the institution has effective methods for ensuring that faculty in these programs regularly communicate and interact with students about the subject matter of the course.

- Determine whether the institution has effective methods for ensuring that faculty and students in these programs interact about key skills and ideas in the students' mastery of tasks to assure competency.

2. Check the response that reflects the team's conclusions after reviewing this component of Federal Compliance:

☒ The institution meets HLC's requirements.

☐ The institution meets HLC's requirements, but additional monitoring is recommended.

☐ The institution does not meet HLC's requirements and additional monitoring is recommended.

☐ The Federal Compliance reviewer/evaluation team also has comments that relate to the institution's compliance with the Criteria for Accreditation. See Criterion (insert appropriate reference).

Rationale:

The Federal Compliance Filling states that NAU does not offer any direct assessment programs, as defined in 34 CFR §668.10. However, NAU offers competency-based programs. Information provided is referenced as below:

"Personalized Learning has 5 existing programs:"
1. BA/BS in Liberal Arts
2. BA/BS in Computer Information Technology
3. BA/BS in Small Business Administration
4. BS in Nursing
5. BA/BS in Management

The information states that, "when students enroll in a course, the faculty member reaches out to welcome the students and to offer assistance and tutorial support. The faculty provides in-depth feedback to the students as they submit all assignments and tests. The feedback is personalized and meant to help the student interact with the lesson materials in a way that aligns with their present mastery of the information. The faculty might recommend additional resources beyond the lesson materials if the student needs additional support. The faculty will encourage one-on-one conversations and tutorial sessions as needed—determined by course performance and student input. The faculty who

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are grading always provide written feedback and sometimes provide audio feedback for students using Jing and Screen-o-matic screen capturing software and Voice Thread discussion board forums. Students also have regular outreach from their departmental faculty. Faculty mentors contact the students to check in and initiate discipline-related questions. An example of a discipline-related question is "I see you're working in the literature lesson. Have you read *Hamlet* yet? Isn't it interesting when Hamlet does x, y ,z…?" The mentors are all discipline-credentialed faculty and they are looking for ways to initiate those conversations during their regular outreach."

Referenced "*Evidence*"
• Email outreach-Advisor
• Email outreach RN2BSN faculty
• Sample email from CIT faculty
• Goal setting outreach email from LA faculty
• Instructional support email from SBA
• Faculty engagement emails from Management
• Welcome letter PL
• Welcome email PL
• Email showing how faculty are maintaining personal connections
• Instructional support communication
It is further stated that "students also initiate contact by submitting assignments, discussion boards, tests, essays, and projects in their lessons. Faculty responds to all student submissions with personalized feedback. Additionally, we have a community chat room where students may initiate contact with faculty who monitor the chat room communication. Students ask questions of faculty and peers in this chat space. This space allows them to comment publically, or to begin private conversations with participants as well."

Referenced "*Evidence*"
 • Email from student requesting instructional support
• Example of student email to faculty
• Screenshot of discussion forum-peer interaction"

Additional monitoring, if any:

N/A

Institutional Materials Related to Federal Compliance Reviewed by the Team

Provide a list of materials reviewed here:

College Documents

- NAU Federal Compliance Filing and Required Appendices

- NAU Credit Hour information

- NAU Course Schedules

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- NAU Syllabi

- NAU Catalog

- NAU URLs-

- Credit Hour Policies

- University Policy on Syllabi (that was approved by the Faculty Senate in spring 2016)

NAU Course Syllabi (samples):

Sample syllabi for distance/online courses, hybrid (blended) courses, independent study, and internship/practicum. Courses offered for: 3 weeks, 4 weeks, 5 weeks, 6+ Independent Study and Internship Practicum, 7 weeks, 8 weeks, 10 weeks, 12 weeks, 16 weeks, and for our Personalized Learning/CBE program.

3weeks courses

COM 200 Basic Communication Theory Summer 2015-online
MKT 333 – Introduction to Marketing Summer 2017(Face-to-Face) M-F 9:00 – 11:45 am
MKT 494 – 001 (1808) Strategic Marketing (Summer Pre-session 2017) 1000am – 1245 pm

4 weeks courses
COM 200 Basic Communication Theory Winter 2016 –online
 REL 150: Religions of the world winter 2016–online
HUM 373 Nature and Values   Winter Session 2017 –online
5 weeks courses
 NUR 330- Introduction to Nursing as a Discipline and Profession - Spring 2017 1:00-5:00 pm + online assignments
ECO201 – Introduction to Business Statistics- Summer I 2017 (Blended)
FIN 190 – Financial Plan- Spring 2017

6+ weeks – Graduate prog.
ECI576 Elementary Education AY 2016-2017 (4-6 credits)
PT 608: Internship I, II, III Course syllabus (6-7 credits) Summer/Fall, 2016 (2 sections) Spring, 2017 (1 section)- Clinical internships physical therapy practice
EPS 694: Counseling Internship: Master's (6 credits) Spring 2015
POS 681Theory and Practice in Public Administration, Capstone Fall 2014 (6 credits)
PHA 521 Foundations of Clinical Practice II Syllabus Spring Semester 2016 (8 credits)
CSD 608 Externship in Speech-Language Pathology (12 credits) Spring 2015
 January 12, 2015 – May 1, 2015

6+ weeks Undergraduate prog.
ENV 408 Internship or Fieldwork Experience (Environmental Sciences)
ENV 485 Undergraduate Research (1-6 credits)
DH 411 Clinic III : Advanced Procedures (6 credits)
GLG 440C - Advanced Geologic Field Methods (6 credits)

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NUR 334L Adult Health Nursing Practicum Fall, 2016 (6 credits)
TSM495C/TSM595 Math Education Spring 2016 (6-2 credits)
TSM495C/TSM595 Science Education Spring 2016 (6-12 credits
NUR 334 Adult Health Nursing Theory (8 credits)
ARE495C Art Education Spring 2017 (12 credits) Spring or Fall
SW 408 Field Placement- Fall, Spring, Summer (6-12 credits)
PRM 408 Internship in Parks and Recreation Management (6-12 credits)
ECI492 Early Childhood Education Spring 2016 (6-12 credits)
JLS 490 Journalism Immersion Experience (12 credits)

Spring or Fall (12 credits)

- ARE 495C Supervised Teaching: Art Education
- CTE 494C Supervised Teaching: Career and Technical Education
- ECI 490C Supervised Teaching: Elementary
- ECI 492 Supervised Teaching: Early Childhood
- ECI 493 Supervised Teaching; Bilingual Education
- ECI 495C Supervised Teaching: Secondary Education
- ECI 576 Student Teaching and Internship
- ECI 595 Internship: Secondary
- ENG 494C: Supervised Teaching: English Education
- ENG 595: Supervised Teaching: English Education
- ESE 491 Supervised Teaching: Special Education
- ESE 591 Supervised Teaching: Special Education-Cross Categorical/High Incidence
- ESE 594 Supervised Teaching: Special Education-Severe/Profound
- FRE 495C: Supervised Teaching: French Education
- GER 495C: Supervised Teaching: German Education
- HIS 491C: Supervised Teaching: Social Studies Education
- MUS 495C: Supervised Teaching: Music Education
- PE 495C: Supervised Teaching: Physical Education
- SPA 495C: Supervised Teaching: Spanish Education
- SPA 595: Supervised Teaching: Spanish Education
- TSM 495C: Supervised Teaching: Math and Science Education
- TSM 595: Supervised Teaching: Math and Science Education
(Note: An additional syllabus may be provided by the department)

7 weeks Online
BBA-471C Online Business Ethics
BBA 305W, Spring 2017
ECI 309: Integrated Literacy I: Developmental Literacy and Language Arts in the Elementary school (3 credits)

8 weeks Courses
COM 200.7 Basic Communication Theory- Fall 2017- 8 week intensive blended learning course

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ECI 309 Integrated Literacy I: Developmental Literacy and Language Arts in the Elementary School –
Spring 2017
BIO 181L Online: The Unity of Life I: Life of the Cell -online
FOR 222: Environmental Conservation (#1592)
Spring 2017 (3 credits, 8 weeks: January 16- March 10, 2017)

10 weeks
SOC 365: 001- Social Statistics (3 credits)
Hon 244-001 (8526)   Interdisciplinary water and film class
Spring 2017   March 13th-May 12th (2 credits) Online
Criminology & Criminal Justice (CCJ) 345w (3) Summer 2017 – Section 1041

12 weeks
BIO 201 L - Blended Human Anatomy and Physiology Laboratory Fall 2017

16 weeks
COM 200.1 Basic Communication Theory-Spring 2015
 BIO 181 - Unity of Life I, Section 2, Spring 2017
CCJ 215-004 Crime, Media and Justice- Spring 2017- Credits: 3
CCJ 215-005 Crime, Media and Justice- Spring 2017- Credits: 3
FOR 222 – Environmental Conservation- Spring 2017
SBS – Department of Criminology and Criminal Justice-
CCJ215Crime, Justice, and the Media

Personalized Learning
CCSU 490c - Liberal Studies Capstone Refresh
(CIT 121) Foundations of Computer Information Technology
CIT 490c – Computer Information Technology-Capstone
MCIT 630: Principles of Mobile and Web App Development- Credits: 3
MCIT 631: Web Applications Programming Foundations- Credits: 3
(ENGL 106) Critically Reading, Evaluating, and Composing Writing
MGMT 325 : Fundamentals in Human Capital Management
MGMT 411: Legal and Policy Issues in Healthcare-Credits: 3
PHSI 102 Everyday Physical Sciences
CCSU 490c Liberal Studies Capstone Refresh
CIT 490c – Computer Information Technology-Capstone
NUR.C105.O1.L1 Nursing as a Discipline and Philosophy
NUR.C106.O1.L1 Research Foundations & Evidence Based Practice in Nursing
PLD 450: Interdisciplinary Applied Project (Variable 3 – 6 credit hours)
PLD 490C – Capstone-Management for Human Resources and Healthcare emphases
PL/NAUY-470C - Capstone: Applying Knowledge and Skills

Northern Arizona University Website

- Northern Arizona University website www.nau.edu

Additional Websites

NAU Additional Websites

- https://nau.edu/Finaid/Tuition-Expenses/
- http://nau.edu/SDAS/Tuition-Fees/
- http://www.nau.edu/student-affairs/Formal-Compliant-
- Process-for-NAU-Students/welcome/
- http://nau.edu/Police/Citizen-Complaint/
- http://nau.edu/admissions/getting-started/requirements/transfers
- https://nau.edu/cie/international-admissions/transfer-student-information/
- http://nau.edu/Institutional-Research/higher-education-act/)
- Academic Catalog: http://catalog.nau.edu/
- Academic Catalog/Courses http://catalog.nau.edu/Courses/index
- Student Handbook https://nau.edu/student-life/student-handbook/
- Graduate College Policies and Handbook http://nau.edu/GradCol/Policies-and-Forms/Policies/
- http://nau.edu/GradCol/Policies-and-Forms/Policies
- http://nau.edu/Institutional-Research/Fact-Book
- http://nau.edu/provost/accreditation/institutional-accreditation/,
- http://nau.edu/About/Who-We-Are/Facts/
- http://nau.edu/admissions/, http://ec.nau.edu/BachelorsDegreePrograms.aspx,
- http://ec.nau.edu/OnlineDegrees.aspx,
- http://nau.edu/cie/international-admissions
- http://nau.edu/gradcol/
- http://ec.nau.edu/MastersDegreePrograms.aspx.
- http://nau.edu/Institutional-Research/Retention-Rates/
- https://www.nau.edu/Institutional-Research/Graduation-Rates/
- https://www.nau.edu/Institutional-Research/Reports/
- https://www.nau.edu/Institutional-Research/Surveys/
- http://www.collegeportraits.org/AZ/NAU
- https://nces.ed.gov/collegenavigator/?q=northern+arizona+university&s=all&id=105330
- http://www.studentachievementmeasure.org/participants/105330
- https://policy.nau.edu/policy/policy.aspx?num=100212
- http://nau.edu/provost/accreditation/program-accreditations/
- https://policy.nau.edu/policy/policy.aspx?num=100212
- https://nau.edu/academic-authorization-compliance/state-authorization-compliance/
-

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Team Worksheet for Evaluating an Institution's Assignment of Credit Hours and Clock Hours

Institution Under Review: Northern Arizona University

Review the *Worksheet for Institutions on the Assignment of Credit Hours and Clock Hours*, including all supplemental materials. Applicable sections and supplements are referenced in the corresponding sections and questions below.

Part 1. Institutional Calendar, Term Length and Type of Credit

Instructions
Review Section 1 of Appendix A. Verify that the institution has calendar and term lengths within the range of good practice in higher education.

Responses
A.   Answer the Following Question

1. Are the institution's calendar and term lengths, including non-standard terms, within the range of good practice in higher education? Do they contribute to an academic environment in which students receive a rigorous and thorough education?

☒ Yes   ☐ No

Comments:

NAU offers a standard 14-17 week term. This schedule follows general good practice in higher education. As noted in the document provided, the Fall 2015 Term and "Statewide 16 week (S16) (8/31/2015-12/18/2015)" information is referenced.

Compressed Formats that are offered by NAU include 3, 4, 5, 8, 10, and 12 week terms within semester. Also referenced in the document is the Statewide Compressed formats as shown below:

Statewide 12 week (10) (8/31/2015 - 11/20/2015)
Statewide 10 week (10) (8/31/2015 - 11/06/2015)
Statewide 8 week A (S8A) (8/31/2015 - 11/06/2015)
Statewide 8 week B (S8B) (8/31/2015 - 11/06/2015)
Detail information/schedules is provided in Appendix A

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B.   Recommend HLC Follow-Up, If Appropriate

Is any HLC follow-up required related to the institution's calendar and term length practices?

☐ Yes   ☒ No

Rationale:

The calendar and term lengths follow general practice in higher education and are also appropriate for the programs and classes offered.

Identify the type of HLC monitoring required and the due date:

N/A

Part 2. Policy and Practices on Assignment of Credit Hours

Instructions
Review Sections 2–4 of the *Worksheet for Institutions on the Assignment of Credit Hours and Clock Hours*, including supplemental materials as noted below. In assessing the appropriateness of the credit allocations provided by the institution the team should complete the following steps. The outcomes of the team's review should be reflected in its responses below.

1. **Format of Courses and Number of Credits Awarded.** Review the *Form for Reporting an Overview of Credit Hour Allocations and Instructional Time for Courses* (Supplement A1 to the *Worksheet for Institutions*) completed by the institution, which provides an overview of credit hour assignments across institutional offerings and delivery formats.

2. Scan the course descriptions in the catalog and the number of credit hours assigned for courses in different departments at the institution (see Supplements B1 and B2 to *Worksheet for Institutions*, as applicable).

   - At semester-based institutions courses will be typically be from two to four credit hours (or approximately five quarter hours) and extend approximately 14–16 weeks (or approximately 10 weeks for a quarter). The descriptions in the catalog should reflect courses that are appropriately rigorous and have collegiate expectations for objectives and workload. Identify courses/disciplines that seem to depart markedly from these expectations.

   - Institutions may have courses that are in compressed format, self-paced, or otherwise alternatively structured. Credit assignments should be reasonable. (For example, as a full-time load for a traditional semester is typically 15 credits, it might be expected that the norm for a full-time load in a five-week term is 5 credits; therefore, a single five-week course awarding 10 credits would be subject to inquiry and justification.)

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- Teams should be sure to scan across disciplines, delivery mode and types of academic activities.

- Federal regulations allow for an institution to have two credit-hour awards: one award for Title IV purposes and following the federal definition and one for the purpose of defining progression in and completion of an academic program at that institution. HLC procedure also permits this approach.

3. Scan course schedules to determine how frequently courses meet each week and what other scheduled activities are required for each course (see Supplement B3 to *Worksheet for Institutions*). Pay particular attention to alternatively structured or other courses completed in a short period of time or with less frequently scheduled interaction between student and instructor that have particularly high credit hour assignments.

4. Sampling. Teams will need to sample some number of degree programs based on the headcount at the institution and the range of programs it offers.

- For the programs sampled, the team should review syllabi and intended learning outcomes for several courses, identify the contact hours for each course, and review expectations for homework or work outside of instructional time.

- At a minimum, teams should anticipate sampling at least a few programs at each degree level.

- For institutions with several different academic calendars or terms or with a wide range of academic programs, the team should expand the sample size appropriately to ensure that it is paying careful attention to alternative format and compressed and accelerated courses.

- Where the institution offers the same course in more than one format, the team is advised to sample across the various formats to test for consistency.

5. **Direct Assessment or Competency-Based Programs.** Review the information provided by the institution regarding any direct assessment or competency-based programs that it offers, with regard to the learning objectives, policies and procedures for credit allocation, and processes for review and improvement in these programs.

6. **Policy on Credit Hours and Total Credit Hour Generation.** With reference to the institutional policies on the assignment of credit provided in Supplement A2 to *Worksheet for Institutions*, consider the following questions:

- Does the institution's policy for awarding credit address all the delivery formats employed by the institution?

- Does that policy address the amount of instructional or contact time assigned and homework typically expected of a student with regard to credit hours earned?

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- For institutions with courses in alternative formats or with less instructional and homework time than would be typically expected, does that policy also equate credit hours with intended learning outcomes and student achievement that could be reasonably achieved by a student in the time frame allotted for the course?

- Is the policy reasonable within the federal definition as well as within the range of good practice in higher education? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

- If so, is the institution's assignment of credit to courses reflective of its policy on the award of credit?

- Do the number of credits taken by typical undergraduate and graduate students, as well as the number of students earning more than the typical number of credits, fall within the range of good practice in higher education?

7. If the answers to the above questions lead the team to conclude that there may be a problem with the credit hours awarded the team should recommend the following:

- If the problem involves a poor or insufficiently detailed institutional policy, the team should call for a revised policy as soon as possible by requiring a monitoring report within no more than one year that demonstrates the institution has a revised policy and provides evidence of implementation.

- If the team identifies an application problem and that problem is isolated to a few courses or a single department, division or learning format, the team should call for follow-up activities (a monitoring report or focused evaluation) to ensure that the problems are corrected within no more than one year.

- If the team identifies systematic noncompliance across the institution with regard to the award of credit, the team should notify the HLC staff immediately and work with staff members to design appropriate follow-up activities. HLC shall understand systematic noncompliance to mean that the institution lacks any policies to determine the award of academic credit or that there is an inappropriate award of institutional credit not in conformity with the policies established by the institution or with commonly accepted practices in higher education across multiple programs or divisions or affecting significant numbers of students.

Worksheet on Assignment of Credit Hours
A.   Identify the Sample Courses and Programs Reviewed by the Team

NAU Course Syllabi (samples):

Sample syllabi for distance/online courses, hybrid (blended) courses, independent study, and internship/practicum. Courses offered for: 3 weeks, 4 weeks, 5 weeks, 6+ Independent Study and Internship Practicum, 7 weeks, 8 weeks, 10 weeks, 12 weeks, 16 weeks, and for our Personalized Learning/CBE program.

3weeks courses

COM 200 Basic Communication Theory Summer 2015-online
MKT 333 – Introduction to Marketing Summer 2017(Face-to-Face) M-F 9:00 – 11:45 am
MKT 494 – 001 (1808) Strategic Marketing (Summer Pre-session 2017) 1000am – 1245 pm

4 weeks courses
COM 200 Basic Communication Theory Winter 2016 –online
 REL 150: Religions of the world winter 2016–online
HUM 373 Nature and Values   Winter Session 2017 –online
5 weeks courses
 NUR 330- Introduction to Nursing as a Discipline and Profession - Spring 2017   1:00-5:00 pm + online assignments
ECO201 – Introduction to Business Statistics- Summer I 2017 (Blended)
FIN 190 – Financial Plan- Spring 2017

6+ weeks – Graduate prog.
ECI576 Elementary Education AY 2016-2017 (4-6 credits)
PT 608: Internship I, II, III Course syllabus (6-7 credits) Summer/Fall, 2016 (2 sections) Spring, 2017 (1 section)- Clinical internships physical therapy practice
EPS 694: Counseling Internship: Master's (6 credits) Spring 2015
POS 681Theory and Practice in Public Administration, Capstone Fall 2014 (6 credits)
PHA 521 Foundations of Clinical Practice II Syllabus Spring Semester 2016 (8 credits)
CSD 608 Externship in Speech-Language Pathology (12 credits) Spring 2015
 January 12, 2015 – May 1, 2015

6+ weeks Undergraduate prog.
ENV 408 Internship or Fieldwork Experience (Environmental Sciences)
ENV 485 Undergraduate Research (1-6 credits)
DH 411 Clinic III : Advanced Procedures (6 credits)
GLG 440C - Advanced Geologic Field Methods (6 credits)
NUR 334L Adult Health Nursing Practicum Fall, 2016 (6 credits)
TSM495C/TSM595 Math Education Spring 2016 (6-2 credits)
TSM495C/TSM595 Science Education Spring 2016 (6-12 credits
NUR 334 Adult Health Nursing Theory (8 credits)
ARE495C Art Education Spring 2017 (12 credits) Spring or Fall
SW 408 Field Placement- Fall, Spring, Summer (6-12 credits)
PRM 408 Internship in Parks and Recreation Management (6-12 credits)
ECI492 Early Childhood Education Spring 2016 (6-12 credits)
JLS 490 Journalism Immersion Experience (12 credits)

Spring or Fall (12 credits)

- ARE 495C Supervised Teaching: Art Education
- CTE 494C Supervised Teaching: Career and Technical Education
- ECI 490C Supervised Teaching: Elementary

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- ECI 492 Supervised Teaching: Early Childhood
- ECI 493 Supervised Teaching; Bilingual Education
- ECI 495C Supervised Teaching: Secondary Education
- ECI 576 Student Teaching and Internship
- ECI 595 Internship: Secondary
- ENG 494C: Supervised Teaching: English Education
- ENG 595: Supervised Teaching: English Education
- ESE 491 Supervised Teaching: Special Education
- ESE 591 Supervised Teaching: Special Education-Cross Categorical/High Incidence
- ESE 594 Supervised Teaching: Special Education-Severe/Profound
- FRE 495C: Supervised Teaching: French Education
- GER 495C: Supervised Teaching: German Education
- HIS 491C: Supervised Teaching: Social Studies Education
- MUS 495C: Supervised Teaching: Music Education
- PE 495C: Supervised Teaching: Physical Education
- SPA 495C: Supervised Teaching: Spanish Education
- SPA 595: Supervised Teaching: Spanish Education
- TSM 495C: Supervised Teaching: Math and Science Education
- TSM 595: Supervised Teaching: Math and Science Education

(Note: An additional syllabus may be provided by the department)

7 weeks Online

BBA-471C Online Business Ethics
BBA 305W, Spring 2017
ECI 309: Integrated Literacy I: Developmental Literacy and Language Arts in the Elementary school (3 credits)

8 weeks Courses

COM 200.7 Basic Communication Theory- Fall 2017- 8 week intensive blended learning course
ECI 309 Integrated Literacy I: Developmental Literacy and Language Arts in the Elementary School – Spring 2017
BIO 181L Online: The Unity of Life I: Life of the Cell -online
FOR 222: Environmental Conservation (#1592)
Spring 2017 (3 credits, 8 weeks: January 16- March 10, 2017)

10 weeks

SOC 365: 001- Social Statistics (3 credits)
Hon 244-001 (8526)   Interdisciplinary water and film class
Spring 2017   March 13th-May 12th (2 credits) Online
Criminology & Criminal Justice (CCJ) 345w (3) Summer 2017 – Section 1041

12 weeks

BIO 201 L - Blended Human Anatomy and Physiology Laboratory Fall 2017

16 weeks

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COM 200.1 Basic Communication Theory-Spring 2015
 BIO 181 - Unity of Life I, Section 2, Spring 2017
CCJ 215-004 Crime, Media and Justice- Spring 2017- Credits: 3
CCJ 215-005 Crime, Media and Justice- Spring 2017- Credits: 3
FOR 222 – Environmental Conservation- Spring 2017
SBS – Department of Criminology and Criminal Justice-
CCJ215Crime, Justice, and the Media

Personalized Learning
CCSU 490c - Liberal Studies Capstone Refresh
(CIT 121) Foundations of Computer Information Technology
CIT 490c – Computer Information Technology-Capstone
MCIT 630: Principles of Mobile and Web App Development- Credits: 3
MCIT 631: Web Applications Programming Foundations- Credits: 3
(ENGL 106) Critically Reading, Evaluating, and Composing Writing
MGMT 325 : Fundamentals in Human Capital Management
MGMT 411: Legal and Policy Issues in Healthcare-Credits: 3
PHSI 102 Everyday Physical Sciences
CCSU 490c Liberal Studies Capstone Refresh
CIT 490c – Computer Information Technology-Capstone
NUR.C105.O1.L1 Nursing as a Discipline and Philosophy
NUR.C106.O1.L1 Research Foundations & Evidence Based Practice in Nursing
PLD 450: Interdisciplinary Applied Project (Variable 3 – 6 credit hours)
PLD 490C – Capstone-Management for Human Resources and Healthcare emphases
PL/NAUY-470C - Capstone: Applying Knowledge and Skills

B.   Answer the Following Questions

1. Institutional Policies on Credit Hours

   a. Does the institution's policy for awarding credit address all the delivery formats employed by the institution? (Note that for this question and the questions that follow an institution may have a single comprehensive policy or multiple policies.)

   ☒ Yes   ☐ No

   Comments:

   The policies of NAU are in accord with the policies of the State and the Arizona Board of Regents (Appendix A) which states the following policies related to Assignment of Credit:

   The unit of credit, defined by the Arizona Board of Regents, is defined as "the cornerstone of Northern Arizona University's academic degree plans. Transfer credit must be based on a similar unit of credit." Information is presented in Northern Arizona University's online catalog (Appendix A4)

   The Policy referenced as "ABOR Policy 2-224" defines a unit of credit as:

An hour of work is the equivalent of fifty (50) minutes of class time (often called a "contact hour") or sixty (60) minutes of independent study work. A minimum of forty-five (45) hours of work by each student is required for each unit of credit. Ordinarily, a course must cover a one (1) week period for every unit of credit given. During summer sessions, however, six (6) units of credit may be given over a five week (5) period.

1. At least 15 contact hours of recitation, lecture, discussion, testing or evaluation, seminar, or colloquium, as well as a minimum of 30 hours of student homework is required for each unit of credit;
2. Workshops must involve a minimum of 45 hours for each unit of credit, including a minimum of 15 contact hours, with the balance of the requirement in homework;
3. Studios must involve at least 30 contact hours and at least 15 hours of homework for each unit of credit;
4. Laboratory courses require a minimum of 45 contact hours per unit of credit;
5. Field trips will be counted hour-for-hour as laboratory meetings;
6. Each unit of internship or practicum must require a minimum of 45 clock hours of work.
7. Music instruction and specialized types of music performance offerings must conform to the requirement for accreditation of the National Association of Schools of Music.
8. Off-campus courses, regardless of mode of delivery, may be assigned credit based on competencies or learning outcomes that are acquired through coursework and are equivalent to those of students in a traditional classroom setting. An equivalent of 45 hours of work by each student is required for each unit of credit.

b. Does that policy relate the amount of instructional or contact time provided and homework typically expected of a student to the credit hours awarded for the classes offered in the delivery formats offered by the institution? (Note that an institution's policy must go beyond simply stating that it awards credit solely based on assessment of student learning and should also reference instructional time.)

☒ Yes   ☐ No

Comments:

NAU follows the university and the Arizona Board of Regents policy's definition of a credit hour. The policies define a semester credit hour. As stated above , an hour of work is the equivalent of fifty (50) minutes of class time (often called a "contact hour") or sixty (60) minutes of independent study work. A minimum of forty-five (45) hours of work by each student is required for each unit of credit. Ordinarily, a course must cover a one (1) week period for every unit of credit given.

As also stated above, at least 15 contact hours of recitation, lecture, discussion, testing or evaluation, seminar, or colloquium, as well as a minimum of 30 hours of student homework is required for each unit of credit, etc.
The federal compliance reviewer also examined sample syllabi of cross-section of courses.

c. For institutions with non-traditional courses in alternative formats or with less instructional and homework time than would be typically expected, does that policy equate credit hours with intended learning outcomes and student achievement that could be reasonably achieved by a student in the time frame and utilizing the activities allotted for the course?

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☒ Yes   ☐ No

Comments:

> The credit policy statement stated an equivalent amount of work is required for alternate formats of academic activities as established by the university.
>
> "Off-campus courses, regardless of mode of delivery, may be assigned credit based on competencies or learning outcomes that are acquired through coursework and are equivalent to those of students in a traditional classroom setting. An equivalent of 45 hours of work by each student is required for each unit of credit."

d. Is the policy reasonable within the federal definition as well as within the range of good practice in higher education? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

☒ Yes   ☐ No

Comments:

> The NAU definition of a credit hour is aligned with the Arizona Board of Regents. The policy is within the range of good practice in higher education.

2. Application of Policies

a. Are the course descriptions and syllabi in the sample academic programs reviewed by the team appropriate and reflective of the institution's policy on the award of credit? (Note that HLC will expect that credit hour policies at public institutions that meet state regulatory requirements or are dictated by the state will likely meet federal definitions as well.)

☒ Yes   ☐ No

Comments:

> Review of course descriptions and in the sample syllabi provided evidenced that they were appropriate and reflective of the institution's policy on the award of credit. Course descriptions were reflective of those from other institutions of higher education.
>
> The university course schedules confirm that the institution's policy on the award of credit is consistently applied. Course descriptions were consistent with the university's syllabi. The sample syllabi further described what the course entailed. The review indicated that the descriptions were appropriate and reflective of the university's policy.
>
> University Policy on Syllabi
> "Policy Number: 100227 Category: Academic » Definitions Policy The purpose of the University Policy Regarding Syllabi is to ensure program faculty collectively agree upon a course's purpose and learning outcomes, students receive consistent communication about the course's purpose and learning outcomes (regardless of class section, instructor, instructional

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delivery mode, or when the course is taught), and academic units have access to syllabi for all classes taught each term as well as syllabi passed through the curriculum approval process. Requirements Regarding the Syllabus"

b. Are the learning outcomes in the sample reviewed by the team appropriate to the courses and programs reviewed and in keeping with the institution's policy on the award of credit?

☒ Yes   ☐ No

Comments:

The students' course learning outcomes in the sample syllabi provided evidenced of rigor and confirms that the institution's policy of the awarding of credit hours is consistently applied. Learning outcomes were present on the syllabi included and appropriate to the policy of awarding credit.

c. If the institution offers any alternative-delivery or compressed-format courses or programs, are the course descriptions and syllabi for those courses appropriate and reflective of the institution's policy on the award of academic credit?

☒ Yes   ☐ No

Comments:

Evidence confirms that the institution's policy on the award of credit is consistently applied to courses offered in alternative delivery or compressed format courses. Courses were sampled and were examined and found appropriate.

d. If the institution offers alternative-delivery or compressed-format courses or programs, are the learning outcomes reviewed by the team appropriate to the courses and programs reviewed and in keeping with the institution's policy on the award of credit? Are the learning outcomes reasonable for students to fulfill in the time allocated, such that the allocation of credit is justified?

☒ Yes   ☐ No

Comments:

The student course learning outcomes from syllabi (including face-to-face, online, hybrid-format courses, courses in compressed formats, and sixteen weeks duration) provide evidence of rigor and confirm that the institution's policy of the awarding of credit hours is consistently applied.
The learning outcomes for regular seated and alternative-delivery or compressed-format courses are appropriate to the policy on awarding of credit.

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e. Is the institution's actual assignment of credit to courses and programs across the institution reflective of its policy on the award of credit and reasonable and appropriate within commonly accepted practice in higher education?

☒ Yes   ☐ No

Comments:

> Credit hour requirements for the university programs follow commonly accepted practices. Programs accredited by a specialized accreditation organization follow accreditation regulations.

> The number of credit hours required for the programs also followed commonly accepted practices. Information and materials provided meet standard requirement, but this can further be verified by the On-site team.

C. Recommend HLC Follow-up, If Appropriate

Review the responses provided in this worksheet. If the team has responded "no" to any of the questions above, the team will need to assign HLC follow-up to assure that the institution comes into compliance with expectations regarding the assignment of credit hours.

Is any HLC follow-up required related to the institution's credit hour policies and practices?

☐ Yes   ☒ No

Rationale:

> NAU 's definition of credit hour is in alignment across all programs and syllabi, regardless of format or length of delivery.

Identify the type of HLC monitoring required and the due date:

D. Systematic Noncompliance in One or More Educational Programs With HLC Policies Regarding the Credit Hour

Did the team find systematic noncompliance in one or more education programs with HLC policies regarding the credit hour?

☐ Yes   ☒ No

Identify the findings:

> All programs aligned with the definition of credit hour.

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Rationale:

All programs aligned with the definition of credit hour.

Part 3. Clock Hours

Instructions

Review Section 5 of *Worksheet for Institutions*, including Supplements A3–A6. Before completing the worksheet below, answer the following question:

> Does the institution offer any degree or certificate programs in clock hours or programs that must be reported to the Department of Education in clock hours for Title IV purposes even though students may earn credit hours for graduation from these programs?

☐ Yes   ☒ No

If the answer is "Yes," complete the "Worksheet on Clock Hours."

Note: This worksheet is <u>not</u> intended for teams to evaluate whether an institution has assigned credit hours relative to contact hours in accordance with the Carnegie definition of the credit hour. This worksheet solely addresses those programs reported to the Department of Education in clock hours for Title IV purposes.

Non-degree programs subject to clock hour requirements (for which an institution is required to measure student progress in clock hours for federal or state purposes or for graduates to apply for licensure) are not subject to the credit hour definitions per se but will need to provide conversions to semester or quarter hours for Title IV purposes. Clock hour programs might include teacher education, nursing or other programs in licensed fields.

Federal regulations require that these programs follow the federal formula listed below. If there are no deficiencies identified by the accrediting agency in the institution's overall policy for awarding semester or quarter credit, the accrediting agency may provide permission for the institution to provide less instruction so long as the student's work outside class in addition to direct instruction meets the applicable quantitative clock hour requirements noted below.

> Federal Formula for Minimum Number of Clock Hours of Instruction (34 CFR §668.8):
>
> 1 semester or trimester hour must include at least 37.5 clock hours of instruction
> 1 quarter hour must include at least 25 clock hours of instruction
>
> Note that the institution may have a lower rate if the institution's requirement for student work outside of class combined with the actual clock hours of instruction equals the above formula provided that a semester/trimester hour includes at least 30 clock hours of actual instruction and a quarter hour includes at least 20 semester hours.

Worksheet on Clock Hours

A. **Answer the Following Questions**

1. Does the institution's credit-to-clock-hour formula match the federal formula?

   ☐ Yes   ☐ No

   Comments:

2. If the credit-to-clock-hour conversion numbers are less than the federal formula, indicate what specific requirements there are, if any, for student work outside of class.

3. Did the team determine that the institution's credit hour policies are reasonable within the federal definition as well as within the range of good practice in higher education? (Note that if the team answers "No" to this question, it should recommend follow-up monitoring in section C below.)

   ☐ Yes   ☐ No

   Comments:

4. Did the team determine in reviewing the assignment of credit to courses and programs across the institution that it was reflective of the institution's policy on the award of credit and reasonable and appropriate within commonly accepted practice in higher education?

   ☐ Yes   ☐ No

   Comments:

B. **Does the team approve variations, if any, from the federal formula in the institution's credit-to-clock-hour conversion?**

☐ Yes   ☐ No

C. **Recommend HLC Follow-up, If Appropriate**

Is any HLC follow-up required related to the institution's clock hour policies and practices?

☐ Yes   ☐ No

Rationale:

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Identify the type of HLC monitoring required and the due date:

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Multi-Campus Reviewer Form

After conducting the electronic and on-site portions of the Multi-Campus Evaluation, the assigned peer reviewer completes a Multi-Campus Reviewer Form. Peer reviewers should complete a separate template for each campus reviewed as part of a Multi-Campus Evaluation. The reviewer then e-mails completed forms to the rest of the evaluation team, who then discuss and integrate the findings into the final comprehensive evaluation report in the Assurance System.

After the visit, the team chair should ensure that HLC receives a copy of all Multi-Campus Reviewer Forms, as they cannot yet be uploaded into the Assurance System. The completed forms should be sent to **finalreports@hlcommission.org**. The Multi-Campus Report from the institution and the Multi-Campus Reviewer Forms become part of the institution's permanent file and are shared as appropriate with future evaluation teams.

Instructions

A Multi-Campus Reviewer Form should be no more than five pages. The Form begins with a brief description of the campus and its operations to provide the context for the on-site team's deliberations.

For each review category, provide 2-3 evidence statements that make clear the team's findings in relationship to the Criteria and Core Components. Check one of the following for each category:

- The evidence indicates that the institution fulfills the expectations of the review category. (The reviewer may cite ways to improve.)

- The evidence indicates that there are concerns related to the expectations of the review category.

This form does not request a recommendation from the reviewer(s). Instead, the full evaluation team is expected to include a discussion of the evidence related to the Multi-Campus Evaluations in its deliberations about the oversight, management, and educational quality of extended operations of the institution. The team will incorporate evidence on extended operations into the final team report. Further, the full team may determine that a pattern of concern exists across multiple categories of a single campus or more than one campus and may result in a recommendation for additional monitoring or sanction.

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Name of Institution: Northern Arizona University

Name and Address of Branch Campus: Northern Arizona University-Yuma, 2020 S Ave 8 E, Yuma, AZ 85365

Date and Duration of Visit: 10/13/2017 8am to 6pm

Reviewer(s): Thomas Dowdell

1. Campus Overview

Provide a brief description of the scope and operations of the campus. Include information about consortial or contractual arrangements, if applicable.

NAU Yuma is a transfer institution offering upper division and graduate courses leading to degrees in 12 program areas. NAU Yuma is co-located with Arizona Western College (AWC), a two-year public community college. NAU Yuma had 531 students in Fall 2016 with two-thirds being full-time and 75 percent Hispanic. AWC and NAU Yuma share some facilities and operate according to a cost-sharing agreement.

2. History, Planning, and Oversight

Provide 2-3 evidentiary statements on the effectiveness of the institution's planning, governance and oversight processes at the campus and in relationship to the broader systems of the institution, particularly as they relate to enrollment, budgeting, and resource allocation at the institution.

Evidentiary Statements:

NAU Yuma is in a period of transition in its relationship to NAU. Starting in 2015-2016 NAU is part of an academic area – NAU online and innovative initiatives - under the direction of a dean who reports to the NAU provost. The NAU Strategic Plan, developed by the Yuma Strategic Planning Committee, is based on NAU's 4/2016 strategic plan, which includes a more specific plan for NAU's extended campuses including Yuma. From the Yuma Strategic Plan, the Yuma Strategic Planning Committee prepared an action plan that identifies specific tasks and activities and when they will be performed in 2016-2017 and 2017-2018. Fiscal management of Yuma had been separate; now budgeting for NAU Yuma has become more centralized. NAU has developed a number of strategies for increasing enrollment. One example is the Partners Advancing Completion through Transfer Opportunities (PACTO) grant which provides funds for mentoring and tutoring for freshman at AWC and has resulted in an increase in elementary education enrollment. It is planned that this project will be expanded to all majors. A second example is planned expansion of the Nursing program in response to increased demand for nursing graduates.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

3. Facilities and Technology

Provide 2-3 evidentiary statements on the institution's facilities and technology at the campus and their suitability to the needs of the students, staff and faculty, as well as the educational offerings. Consider, in

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particular, classrooms and laboratories (size, maintenance, temperature, etc.); faculty and administrative offices (site, visibility, privacy for meetings, etc.); parking or access to public transit; bookstore or text purchasing services; security; handicapped access; and other (food or snack services, study and meeting areas, etc.).

Evidentiary Statements:

NAU Yuma has a variety of different sizes of computer-equipped classrooms and lab rooms for their biology and environmental science programs. Based on the Peer Reviewer's tour of the facility, faculty and administrative space appears adequate, including office space for adjunct or part-time faculty. NAU faculty, students, and administrators have access to AWC classrooms, meeting rooms, library, dining facilities, and library. The Yuma Associate Vice President/Chief Executive Officer reports that AWC uses NAU classrooms more frequently than NAU uses AWC classrooms. The five students The Peer Reviewer met with report that NAU Yuma technology and classroom space are adequate. The End User Computer Support Specialist at NAU Yuma reports that faculty computers are replaced on a five-year life cycle but computers in shared classrooms (NAU and AWC) are not being replaced as frequently (because of budget cuts) and AWC is not replacing the computers.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

4. Human Resources

Provide 2-3 evidentiary statements on appropriateness of faculty and staff qualifications, sufficiency of staff and faculty for the campus, and the processes for supporting and evaluating personnel at the campus. Consider the processes in place for selecting, training, and orienting faculty at the location, as well as the credentials of faculty dedicated to the campus and other faculty.

Evidentiary Statements:

Of the 31 full-time faculty at NAU Yuma 18 have a Ph.D. or Ed.D. and ten have master's degrees. The remaining three are in nursing with one working on his doctorate. In Fall 2016 the student to faculty ratio was 11:1. There are no untenured tenure-track faculty at NAU Yuma. Faculty are motivated to stay current in their fields based on separate professional accreditation criteria, interest in promotion to the next level, and annual reviews by the associate vice president, and Faculty Status Committee. I reviewed two faculty annual reviews (Faculty_Annual_Review_15-16_Lewis.pdf and Faculty_Annuals_Review_15-16.pdf) and two promotion decisions (Cordova.pdf and Byron.pdf) as evidence of their annual review and promotion processes.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

5. Student and Faculty Resources and Support

Provide 2-3 evidentiary statements on the student and faculty services and academic resources at the campus, as well as the processes to evaluate, improve, and manage them. Consider, in particular, the level of student access (in person, by computer, by phone, etc.) to academic advising/placement, remedial/tutorial services, and library materials/services. Also, consider the level of access to admissions, registration/student records, financial aid, and job placement services, as well as attention to student concerns. Finally, consider the resources needed by faculty to provide the educational offerings.

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Evidentiary Statements:

NAU Yuma students have on-location access to admission and registration, a library, tutoring, and a writing center. Nursing students at NAU Yuma get advising from the Flagstaff campus. All NAU Yuma students receive placement services from the Flagstaff campus. NAU Yuma advising and registration positions have been cut, but the five students the Peer Reviewer met with found them to be adequate. Currently there are two full-time and one part-time advisors which seems adequate for the number of students (466 FTE for Fall 2017 per the Institutional Research and Analysis website). Staff in enrollment/registration suggest that their office could be reconfigured so that conversations with students can be more private. The faculty the Peer Reviewer met with report that teaching resources are adequate.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

6. Educational Programs and Instructional Oversight

Provide 2-3 evidentiary statements on the institution's capacity to oversee educational offerings and instruction at the campus. Identify whether the institution has adequate controls in place to ensure that information presented to students is ample and accurate. Consider consistency of curricular expectations and policies, availability of courses needed for program and graduation requirements, performance of instructional duties, availability of faculty to students, orientation of faculty/professional development, attention to student concerns.

Evidentiary Statements:

Staff in enrollment/registration and advising are attentive to student feedback on website information and communicate errors identified to their supervisor for resolution. Advisors notice problems on curricular check-sheets that show courses required for programs and follow up to make sure they are corrected. Five students the Peer Reviewer met with did not have any problem with having courses available to meet their program requirements for graduation. These students also reported that faculty were available to them and attended to their concerns. In the Peer Reviewer's open meeting with faculty a business instructor discussed taking students to a business competition. A social work instructor reported taking students to a conference where they presented research that the faculty member and students collaborated on. That faculty member also reported one million dollars of in-kind contributions of NAU Yuma social work (contributed services) to the community since 2004. As part of the annual review process faculty members set professional development goals for themselves. Faculty members prepare a self-evaluations and are reviewed by a Faculty Status Committee and the Yuma AVP/CEO. The Peer Reviewer examined the AVP/CEO Faculty Annual Review for two faculty members finding the professional development goals and review of performance toward these goals (see question 4).

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

7. Evaluation and Assessment

Provide 2-3 evidentiary statements on the institution's processes to evaluate and improve the educational offerings of the campus and to assess and improve student learning, persistence, and completion sufficiently to maintain and improve academic quality at the campus. Consider, in particular,

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the setting of outcomes, the actual measurement of performance, and the analysis and use of data to maintain/improve quality. Identify how the processes at a campus are equivalent to those for assessment and evaluation on the main campus.

Evidentiary Statements:

In May 2014 Faculty Senate at NAU (Flagstaff) approved Degree Program Expectations (DPEs). According to DPEs all NAU degree programs (including those at Yuma) must adhere to and document how their program(s) achieve and maintain high-quality curriculum and assessment standards based on six DPE expectations: 1. Degree program purpose, 2. Degree program student learning outcomes, 3. Curriculum design with a curriculum matrix (map), 4. Strategic course design which supports degree program student learning outcomes, Systematic assessment of degree program student learning outcomes, and 6. Use of assessment findings for continual improvement. Academic units are expected to achieve and maintain all six expectations for their degree programs as part of their Academic Program Review or Specialized Accreditation. NAU Yuma Curriculum Committee prepared a July 31, 2017 report to identify Yuma degree programs' achievement and maintenance of five of the six DPE expectations (NAU Yuma is unable to track number 4). Based on the report ten programs achieved expectations in all five categories, eleven programs achieved expectations in all but one category, and three achieved expectations in all but two categories. NAU Yuma programs provide their DPE reports to NAU Flagstaff either in a standard format or through their specialized accreditation report. The Peer Reviewer examined DPE reports for Psychology (Assessment_PlanPsychologyB.pdf), Public Administration (Final_Curr_Assess_MultiYearPlan_PublicAdmin_Feb23_2017.pdf and AY2013_2014ReportPublicAdministrationJusticeStudies.pdf), and Business and Administration (QA_Report_ACBSP_September_2015_(2).pdf). The Psychology and Public Administration reports used NAU assessment format but the Business and Administration report used the business specialized accreditation report (acceptable by NAU). The Peer Reviewer found the information in the individual program reports to be consistent with the July 31, 2017 report discussed above.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

8. Continuous Improvement

Provide 2-3 evidentiary statements that demonstrate that the institution encourages and ensures continuous quality improvement at the campus. Consider in particular the institution's planning and evaluation processes that ensure regular review and improvement of the campus and ensure alignment of the branch campus with the mission and goals of the institution as a whole.

Evidentiary Statements:

NAU Yuma's strategic plan (Yuma_Strategic_Plan_pdf) is based on the NAU overall strategic plan (Strategic_Plan_NAU_pdf) and on the NAU Extended Campus Strategic Plan (Extended_Campus_Strategic_Plan_pdf). NAU Yuma's mission statement and values match up closely with the mission and values of NAU. Six NAU Yuma values matche up exactly with NAU and NAU Yuma has the additional value of Community Engagement. NAU Yuma's strategic goals also match up well with NAU except that NAU Yuma does not have a research excellence goal, and NAU Yuma's goals are more specifically tied to their location.

NAU Yuma has an effective strategic planning process (Strategic_Plan_Procees_Yua_pdf). The current strategic plan was developed by the Yuma Campus Strategic Planning Committee and approved by 95% of faculty. The Yuma Campus Strategic Planning Committee includes NAU Yuma faculty,

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administrators, staff, and students; an Arizona Western College faculty member and administrator; a NAU Yuma alumni; and two local community members. The committee reviews and updates the plan every five years or as requested by administration. From the goals and strategies, the committee developed specific tasks and activities along with a timeline of when they would be performed (Yuma Branch Campus Action Plan). The committee reviews each task in the spring semester and marks which have been completed and which need additional time. The Peer Reviewer discussed with committee representatives tasks that had been successful and unsuccessful. A successful task under global engagement is building relationships with schools in Mexico to work together on programs. An unsuccessful task is establishing an associated student government on the Yuma Campus.

Judgment of reviewer(s) (check one):

☒ The evidence indicates that the institution fulfills the expectations of the category.

☐ The evidence indicates that there are concerns related to the expectations of the category.

HIGHER LEARNING COMMISSION

Institutional Status and Requirements Worksheet

INSTITUTION and STATE:	Northern Arizona University, AZ
TYPE OF REVIEW:	Open Pathway Comprehensive Evaluation
DESCRIPTION OF REVIEW:	A multi-campus visit will occur in conjunction with the comprehensive evaluation to NAU YUMA Branch Campus, 2020 South Avenue East, P.O. Box 6236,Yuma,AZ 85364. Comprehensive Evaluation includes a Federal Compliance Reviewer.
DATES OF REVIEW:	10/16/2017 - 10/17/2017

☐ No Change in Institutional Status and Requirements

Accreditation Status

Nature of Institution

Control: Public

Recommended Change: No change

Degrees Awarded: Bachelors, Masters, Doctors

Recommended Change: No change

Reaffirmation of Accreditation:

Year of Last Reaffirmation of Accreditation: 2007 - 2008

Year of Next Reaffirmation of Accreditation: 2017 - 2018

Recommended Change: 2027-2028

Accreditation Stipulations

General:
 Prior HLC approval is required for substantive change as stated in HLC policy.
Recommended Change: No change

HIGHER LEARNING COMMISSION

Institutional Status and Requirements Worksheet

Additional Location:

The institution has been approved for the Notification Program, allowing the institution to open new additional locations within the United States.

Recommended Change: No change

Distance and Correspondence Courses and Programs:

Approved for distance education courses and programs. The institution has not been approved for correspondence education.

Recommended Change: No change

Direct Assessment:

The institution has been approved to offer direct assessment competency-based programs in the Bachelor of Arts/Bachelor of Science in Small Business Administration, the Bachelor of Arts/Bachelor of Science in Computer Information Technology, and the Bachelor of Arts/Bachelor of Science in Liberal Arts. The institution is approved to offer six credit-based competency-based education programs as declared to HLC and offered prior to May 1, 2015. Any programs initiated after that date must receive HLC review and approval.

Recommended Change: No change

Accreditation Events

Accreditation Pathway   Open Pathway

Recommended Change: No change

Upcoming Events

Monitoring

Upcoming Events

None

Recommended Change: Interim report due 5/31/2019: 1) documentation of the actions taken to improve communication between senior administration and the staff, faculty and students at NAU, and 2) evidence of the improvement of this communication and the resulting efficacy of shared governance at NAU.

Institutional Data

Educational Programs		**Recommended Change: No change**
Undergraduate		
Certificate	78	_____
Associate Degrees	0	_____
Baccalaureate Degrees	91	_____

HIGHER LEARNING COMMISSION

Institutional Status and Requirements Worksheet

Graduate

Master's Degrees	50	_____
Specialist Degrees	0	_____
Doctoral Degrees	14	_____

Extended Operations

Branch Campuses

NAU YUMA Branch Campus, 2020 South Avenue East ,P.O. Box 6236, Yuma, AZ, 85364

Recommended Change: No change

Additional Locations

Chandler/Gilbert, 2626 East Pecos Rd, Jacaranda Hall, Chandler, AZ, 85225 - Active

East Valley , 145 N. Centennial Way, Mesa, AZ, 85201 - Active

Glendale, 6000 W. Olive, Building LA 121, Glendale, AZ, 85302 - Active

Marine Corps Air Station (MCAS) Yuma Education Center, Building 850 Shaw Avenue Room 113, Yuma , AZ, 85365 - Active

Mesa, 1833 W. Southern Ave, Mesa, AZ, 85202 - Active

Mohave, 1971 Jagerson Ave, Kingman, AZ, 86409 - Active

NAU-Navajo-Hopi Campus, Bashas' Shopper Center/Hwy 191, Box 1923, Chinle, AZ, 86503 - Active

NAU-Navajo-Hopi Campus, Bashas' Shopper Center/Hwy 191, Box 1923, Chinle, AZ, 86503 - Active

NAU-Navajo-Hopi Campus, Bashas' Shopper Center/Hwy 191, Box 1923, Chinle, AZ, 86503 - Active

NAU-North Valley, 15451 N 28th Ave, Phoenix, AZ, 85053 - Active

NAU-Yavapai, 7351 E. Civic Circle, Prescott Valley, AZ, 86314 - Active

Paradise Valley, 18401 N. 32nd Street, Phoenix, AZ, 85032 - Active

Personalized Learning (Direct assessment competency-based program), 700 S Osborne Dr., Personalized Learning, Flagstaff, AZ, 86011 - Active

Phoenix, 1202 W Thomas Rd, Phoenix, AZ, 85013 - Active

Phoenix Biomedical, 435 N. 5th Street, Phoenix, AZ, 86004 - Active

Prescott, 1100 E. Sheldon , Prescott, AZ, 86301 - Active

Scottsdale, 9000 E. Chaparral, Scottsdale, AZ, 85256 - Active

Show Low, 1001 W. Deuce of Clubs, PO Box 3411, Show Low, AZ, 85902 - Active

Signal Peak, 8470 N. Overfield Rd, T121, Coolidge, AZ, 85228 - Active

South Mountain, 7050 S. 24th Street, Phoenix, AZ, 85042 - Active

Thatcher, 615 N. Stadium Ave, Thatcher, AZ, 85552 - Active

Tucson, 401 N. Bonita, Tucson, AZ, 85705 - Active

West Valley, 3000 N. Dystart Rd. , Avondale, AZ, 85392 - Active

Recommended Change: No change

Institutional Status and Requirements Worksheet

Distance Delivery

09. - COMMUNICATION, JOURNALISM, AND RELATED PROGRAMS, Master, Applied Communication (MA)

13.0201 - Bilingual and Multilingual Education, Master, Bilingual and Multicultural Education - Bilingual (MED)

13.0201 - Bilingual and Multilingual Education, Master, Bilingual and Multicultural Education - ESL (MED)

13.0401 - Educational Leadership and Administration, General, Master, Educational Leadership - Community College (MEd)

13.1014 - Education/Teaching of Individuals Who are Developmentally Delayed, Certificate, Positive Behavior Support Certificate

13.1101 - Counselor Education/School Counseling and Guidance Services, Master, Human Relations (MEd)

13.1202 - Elementary Education and Teaching, Master, Elementary Education-Continuing Professional Emphasis (MEd)

13.1210 - Early Childhood Education and Teaching, Master, Early Childhood Education (MEd)

13.1311 - Mathematics Teacher Education, Certificate, Mathematics Teaching - Certificate

13.1311 - Mathematics Teacher Education, Master, Mathematics Education (MS)

13.1315 - Reading Teacher Education, , Reading Specialist Endorsement (K-8)

13.1316 - Science Teacher Education/General Science Teacher Education, Certificate, Science Teaching - Certificate

13.1316 - Science Teacher Education/General Science Teacher Education, Master, Science Teaching (MA)

13.1316 - Science Teacher Education/General Science Teacher Education, Master, Teaching Science with Certification (MAT)

13.1319 - Technical Teacher Education, Bachelor, Career and Technical Education - Occupational Education (90-30) (BSED)

13.1319 - Technical Teacher Education, Certificate, Career and Technical Education Certificate

13.1319 - Technical Teacher Education, Certificate, Educational Technology Certificate

13.1321 - Computer Teacher Education, Master, Educational Technology (MEd)

13.1399 - Teacher Education and Professional Development, Specific Subject Areas, Other, Master, Career & Technical Education (MEd)

13.1401 - Teaching English as a Second or Foreign Language/ESL Language Instructor, , Teaching English as Second Language-Endorsement

13.1401 - Teaching English as a Second or Foreign Language/ESL Language Instructor, Certificate, Teaching English as a Second Language - Certificate

23.0101 - English Language and Literature, General, Master, English-General English Emphasis (MA)

23.1303 - Professional, Technical, Business, and Scientific Writing, Certificate, Professional Writing Certificate

23.1303 - Professional, Technical, Business, and Scientific Writing, Master, English - Professional Writing (MA)

23.1304 - Rhetoric and Composition, Master, English - Rhetoric and the Teaching of Writing (MA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Administration (BAS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Administration (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Administration (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Arts & Letters (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Criminal Justice (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Emergency Services Administration (90-30) (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Emergency Services Administration (90-30) (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Humanities (90/30) (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Justice

Institutional Status and Requirements Worksheet

Administration (90-30) (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Justice Administration (90-30) (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Justice Administration (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Justice Administration (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Public Management (90/30) (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Public Management (90/30) (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Public Management (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Public Management (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Speech Language Sciences and Technology (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Technology Management (90/30) (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Technology Management (90-30) (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Technology Management (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies - Technology Management (BS)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies -Speech Language Sciences and Technology (BA)

24.0101 - Liberal Arts and Sciences/Liberal Studies, Bachelor, Interdisciplinary Studies-Humanities (90/30) (BS)

30.2601 - Cultural Studies/Critical Theory and Analysis, Bachelor, Comparative Cultural Studies (BA)

30.9999 - Multi-/Interdisciplinary Studies, Other, Certificate, Non Degree-Personal Enrichment (Graduate)

31.0101 - Parks, Recreation and Leisure Studies, Bachelor, Parks & Recreation Management (BS)

31.0101 - Parks, Recreation and Leisure Studies, Certificate, Parks and Recreation Management Certificate

41.9999 - Science Technologies/Technicians, Other, Bachelor, Criminal Justice (BAS)

41.9999 - Science Technologies/Technicians, Other, Bachelor, Early Childhood Education (BAS)

41.9999 - Science Technologies/Technicians, Other, Bachelor, Emergency Services Administration (BAS)

41.9999 - Science Technologies/Technicians, Other, Bachelor, Justice Administration (BAS)

41.9999 - Science Technologies/Technicians, Other, Bachelor, Public Management (BAS)

41.9999 - Science Technologies/Technicians, Other, Bachelor, Technology Management (BAS)

43.0103 - Criminal Justice/Law Enforcement Administration, Bachelor, Criminology and Criminal Justice (BS)

44.0000 - Human Services, General, Certificate, Assistive Technology - Certificate

44.0501 - Public Policy Analysis, General, Certificate, Community Planning - Certificate

45.0702 - Geographic Information Science and Cartography, Certificate, Geographic Information Systems Certificate

45.0702 - Geographic Information Science and Cartography, Master, Applied Geospatial Sciences (MS)

51. - HEALTH PROFESSIONS AND RELATED PROGRAMS, Bachelor, Health Sciences - Medical Assisting (BS)

51.00 - Health Services/Allied Health/Health Sciences, General, Bachelor, Health Sciences - Allied Health (BS)

51.0203 - Speech-Language Pathology/Pathologist, Certificate, Speech-Language Pathology Assistant Certificate

51.0602 - Dental Hygiene/Hygienist, Bachelor, Dental Hygiene Completion Program (BS)

51.09 - Allied Health Diagnostic, Intervention, and Treatment Professions, Bachelor, Health Sciences - Public Health (BS)

51.09 - Allied Health Diagnostic, Intervention, and Treatment Professions, Bachelor, Health Sciences-Paramedic Care (BS)

Institutional Status and Requirements Worksheet

51.09 - Allied Health Diagnostic, Intervention, and Treatment Professions, Bachelor, Health Sciences-Physical Therapist Assisting (BS)

51.0908 - Respiratory Care Therapy/Therapist, Bachelor, Health Sciences-Respiratory Care (BS)

51.0909 - Surgical Technology/Technologist, Bachelor, Health Sciences-Surgical Technology (BS)

51.0911 - Radiologic Technology/Science - Radiographer, Bachelor, Health Sciences-Diagnostic Medical Imaging and Therapy (BS)

51.3801 - Registered Nursing/Registered Nurse, Bachelor, Nursing (RN to BSN)

51.3801 - Registered Nursing/Registered Nurse, Master, Nursing - Generalist (MS)

51.3805 - Family Practice Nurse/Nursing, Certificate, Nursing (Post Masters Family Nurse Practitioner - Certificate)

51.3805 - Family Practice Nurse/Nursing, Master, Nursing - Family Nurse Practitioner (MS)

51.3818 - Nursing Practice, Doctor, Nursing Practice (DNP)

52.0201 - Business Administration and Management, General, Bachelor, Business Administration (BBA)

52.0203 - Logistics, Materials, and Supply Chain Management, Bachelor, Logistics and Supply Chain Management (BAS)

52.0206 - Non-Profit/Public/Organizational Management, Certificate, Public Management Certificate

52.0206 - Non-Profit/Public/Organizational Management, Master, M. Administration

52.0904 - Hotel/Motel Administration/Management, Bachelor, Hotel & Restaurant Management (BS)

Recommended Change: No change

Correspondence Education

None

Recommended Change: No change

Contractual Arrangements

None

Recommended Change: No change

Consortial Arrangements

None

Recommended Change: No change