CHAPTER 6
Criterion 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
THE INSTITUTION’S RESOURCE BASE SUPPORTS ITS CURRENT EDUCATIONAL PROGRAMS AND ITS PLANS FOR MAINTAINING AND STRENGTHENING THEIR QUALITY IN THE FUTURE.

5.A.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.

The University operates with a strong foundation marked by financial stability, an evolving team built with the mission and the changing environment of higher education as primary considerations, and physical and technological infrastructure that address current needs with capacity to respond to future challenges and opportunities.

5.A.1.a – Fiscal Infrastructure

Over the past decade, UND has experienced a stable fiscal resource base, which has supported its operations. UND has benefited from a flourishing state economy, providing the state with capacity to continue its level of appropriations. In addition, UND has managed enrollment with steady growth leading to a predictable stream of tuition revenue, pursued new research activities to advance its core mission and increase grants and contracts revenue to keep pace with other revenue sources, generated stable levels of auxiliary revenue, and reached the goal set for an ambitious capital campaign.

State Appropriations: The University has experienced consistent levels of state funding. Between 2004 and 2012, state support increased by 60 percent (Table 5.A.1.a-1). That increase maintained state appropriations at 22-23 percent of total revenues between 2004 and 2012 (Figure 5.A.1.a-1 and Figure 5.A.1.a-2).

With the strong state economy and a history of conservatively prudent fiscal management, higher education in North Dakota is expected to remain financially stable. While North Dakota is one of the nation’s smallest states, it is outperforming its larger rivals economically. The 2012 second quarter report from the U.S. Bureau of Economic Analysis (BEA) indicated that North Dakota is expanding more rapidly than any other state. That assertion is based on changes between 2010 and

<table>
<thead>
<tr>
<th>Source of Revenue</th>
<th>2004</th>
<th>2012</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net Tuition and Fees</td>
<td>$72,966,544</td>
<td>$117,258,603</td>
<td>61%</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>$78,966,544</td>
<td>$112,094,359</td>
<td>43%</td>
</tr>
<tr>
<td>Sales &amp; Services</td>
<td>$23,054,669</td>
<td>$39,668,199</td>
<td>72%</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>$25,720,318</td>
<td>$39,632,398</td>
<td>54%</td>
</tr>
<tr>
<td>Other</td>
<td>$6,155,677</td>
<td>$5,716,453</td>
<td>-7%</td>
</tr>
<tr>
<td>State Appropriations</td>
<td>$60,402,294</td>
<td>$99,957,594</td>
<td>65%</td>
</tr>
<tr>
<td>Gifts</td>
<td>$12,838,464</td>
<td>$16,396,686</td>
<td>28%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$279,533,082</strong></td>
<td><strong>$430,724,292</strong></td>
<td><strong>54%</strong></td>
</tr>
</tbody>
</table>

Source: Ratios Revenues by Source Expend by Function (excel worksheets).
North Dakota’s gross state product (GSP) increased by 7.6 percent in 2011. No state grew faster.

Figure 5.A.1.a-1
Distribution of Revenue Sources for 2004

Figure 5.A.1.a-2
Distribution of Revenue Sources for 2012

2011 in gross state product (GSP), the annual output of goods and services at the state level. North Dakota’s GSP increased by 7.6 percent in 2011, based on inflation-adjusted figures from BEA. No state other than North Dakota grew faster than Oregon’s 4.7 percent, and seven states suffered declines. North Dakota is now the nation’s second largest oil-producing state.

Other indicators also point to the state’s continued financial strength. The North Dakota Office of Management and Budget (OMB) Sept. 20, 2012, general fund status report to the Budget Section of the North Dakota legislature noted two significant indicators demonstrating the state’s capacity to respond to its financial obligations. Specifically, the report highlighted the low and stable unemployment rate in July 2012 at only 2.9 percent while the national average remained at 8.6 percent. Further, oil production increases coupled with increases in the price of oil continue to support a strong economic outlook.

In addition, North Dakota began the 2011-2013 legislative biennium with a $1 billion general fund balance and, as of the September 2012 report from OMB, predicted a $1.5 billion general fund balance, before any transfers to the state’s Budget Stabilization Fund, at the end of the 2011-2013 biennium. NDCC Section 54-27.2-02 provides that any end-of-biennium balance in excess of $65.0 million must be transferred to the budget stabilization fund, up to a cap of 9.5 percent of general fund appropriations. Appropriations authorized during the 2011 special session resulted in the need to increase the budget stabilization fund cap by $16.1 million. The balance in the budget stabilization fund as of September 2012 was
$395 million. This fund reflects the growing state reserves for any future budget stabilization needs.

These statements have been affirmed through external evaluations of the University’s fiscal health. Moody’s Investors Services maintains an Aa1 general obligation rating for the state of North Dakota, with a stable outlook. Likewise, in the May 2012 affirmation of the University’s Aa3 rating on ‘UND’s Housing and Auxiliary Facilities Revenue Bonds, Moody’s noted the state of North Dakota has shown strong and consistent support that is expected to continue as the state benefits from a natural resource boom.

**Enrollment/Tuition Revenue:** The steady growth in student enrollment indicates a strong market position and a predictable flow of tuition revenue. Head-count enrollment at the University increased from 13,034 students in the fall of 2003 to 15,250 students in the fall of 2012, a 17 percent increase. Full-time equivalent enrollment increased from 11,073 students to 12,319 students for the same period, an 11 percent increase. This growth continues even though the in-state high school population is declining. To address this population shift, the University has increasingly recruited out-of-state students. In the fall of 2003, out-of-state students were 48 percent of enrollment, and by 2012, that group had increased to 57 percent of enrollment.

The University has also adjusted tuition dollars to address expenditure increases. While the tuition and fees sticker price has increased by 67 to 71 percent since 2003-2004, the share of net tuition and fees as an overall contribution to University revenue has not varied significantly. For example, in 2004, net tuition and fees were 26 percent of total revenue sources; in 2012, net tuition and fees were 27 percent of total revenues (Table 5.A.1.a-2). Equally important, UND is priced significantly lower than its peers. In FY 2008, UND’s undergraduate tuition and fees were 84 percent of its peer institutions’ and 71 percent in FY 2012. In FY 2008, UND’s graduate tuition and fees were 81 percent of its peer institutions’ and 71 percent in FY 2012.

**Table 5.A.1.a-2**

<table>
<thead>
<tr>
<th>Year</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003-2004</td>
<td>26%</td>
</tr>
<tr>
<td>2004-2005</td>
<td>29%</td>
</tr>
<tr>
<td>2005-2006</td>
<td>30%</td>
</tr>
<tr>
<td>2006-2007</td>
<td>30%</td>
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<tr>
<td>2007-2008</td>
<td>29%</td>
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<tr>
<td>2008-2009</td>
<td>28%</td>
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<tr>
<td>2009-2010</td>
<td>27%</td>
</tr>
<tr>
<td>2010-2011</td>
<td>26%</td>
</tr>
<tr>
<td>2011-2012</td>
<td>27%</td>
</tr>
</tbody>
</table>

**Table 5.A.1.a-3**

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>In-state</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>$7,092</td>
<td>$7,716</td>
<td>67%</td>
</tr>
<tr>
<td>Room and Board</td>
<td>$6,100</td>
<td>$6,100</td>
<td>44%</td>
</tr>
<tr>
<td><strong>Total Yearly Cost</strong></td>
<td>$13,192</td>
<td>$13,192</td>
<td>57%</td>
</tr>
</tbody>
</table>

**Table 5.A.1.a-3**

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Out-of-state</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>$16,767</td>
<td>$16,767</td>
<td>69%</td>
</tr>
<tr>
<td>Mn. Resident</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>$7,716</td>
<td>$7,716</td>
<td>67%</td>
</tr>
<tr>
<td><strong>Total Yearly Cost</strong></td>
<td>$24,483</td>
<td>$24,483</td>
<td>69%</td>
</tr>
</tbody>
</table>
percent in FY 2012. Also worth noting, UND has not increased tuition and fees at the same rate as its peers (Table 5.A.1.a-4). UND maintains a lower price point than five of its six regional competitors. Put simply, the data suggest net tuition and fees as a steady revenue stream, and that position is likely to continue, especially given that UND is at a lower price point than its peers and its cost is increasing at a slower rate.

Grants and Contracts Revenue: In the last decade, UND has continued to emphasize research excellence without compromising its focus on teaching and learning. UND’s status as a Carnegie-designated High-Research Activity institution has been reflected in the steady growth in absolute dollars of externally sponsored research funding. The recent overall decline in federal funding opportunities, including the elimination of earmarks, has challenged UND, as it has other many other institutions. Although federal grants and contracts have declined at UND in the last couple of years, the University has sought opportunities from other sources with a focus on the institution’s core expertise. This strategy has made it possible for the University to generate alternative grants and contracts revenue so the category remains within approximately the same share of total revenue contribution. In FY 2004, grants and contracts revenue represented 28 percent of total revenues at $78.4 million; in FY 2012 grants and contracts revenue totaled $112.1 million, which was 26 percent of total revenues (Figure 5.A.1.a-2).

In terms of grants and contracts revenue, the major research entities on campus continue to be housed within the Energy & Environmental Research Center (EERC), the John D. Odegard

<table>
<thead>
<tr>
<th>Table 5.A.1.a–4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tuition and fees increase at UND as compared to its peer institutions FY 2008 to FY 2012</strong></td>
</tr>
<tr>
<td><strong>In-state Undergraduate</strong></td>
</tr>
<tr>
<td>2008</td>
</tr>
<tr>
<td>2009</td>
</tr>
<tr>
<td>2010</td>
</tr>
<tr>
<td>2011</td>
</tr>
<tr>
<td>2012</td>
</tr>
<tr>
<td><strong>In-state Graduate</strong></td>
</tr>
<tr>
<td>2008</td>
</tr>
<tr>
<td>2009</td>
</tr>
<tr>
<td>2010</td>
</tr>
<tr>
<td>2011</td>
</tr>
<tr>
<td>2012</td>
</tr>
</tbody>
</table>

Source: Financial Report FY12, Page I-12

School of Aerospace Sciences, and the School of Medicine & Health Sciences. Although the EERC experienced reduced funding as a result of the elimination of federal earmarks, increased funding in other areas, particularly in aerospace with a focus on unmanned aircraft systems, has partially made up for the drop in funding. The UND/L-3 Unmanned Aircraft Systems (UAS) Training Center at Grand Forks Air Force Base was dedicated in August 2011. As the latest addition to UND’s growing UAS presence in the region, the UAS Training Center is an integral part of the UND Unmanned Aircraft Systems Center of Excellence program that was established in 2006 under state
The University has experienced gains of 54 percent in revenue from its Auxiliary Enterprises, largely resulting from enrollment growth and increased charges, since 2004.

**Center of Excellence** guidelines. UND’s Center for UAS Research, Education & Training provides a conduit between private industry and UAS researchers, promoting commercialization of new UAS-related products and services while bringing UAS-related business ventures to North Dakota. UND also offered the country’s first bachelor’s degree in UAS operations.

UND has succeeded in cultivating relationships and identifying research focuses that are likely to be sustainable in the near future despite the decline in federal research dollars. In addition, the University continues to explore other funding opportunities that complement its core expertise. As a result of the oil boom in the western portion of the state, promising areas include energy studies, particularly geology and geological engineering and the related field of petroleum engineering, both located in the College of Engineering & Mines.

**Auxiliary Revenue:** The University has experienced gains of 54 percent in revenue from its Auxiliary Enterprises, largely resulting from enrollment growth and increased charges, since 2004 (Table 5.A.1.a-5). UND’s Housing & Auxiliary Facilities System (H&AFS) reflect the most significant revenue source within auxiliary service areas. H&AFS comprises housing, dining, and parking. Revenues from these entities are pledged to revenue bond retirement. The H&AFS currently includes:

**Housing and Dining Facilities:** UND offers 15 residence hall facilities, with three dining facilities, for approximately 3,192 students; 836 apartment units for students (single, family and faculty); and 275 apartment-styled units for students. In FY 2003, the University purchased a motel adjacent to campus (Dakota Hall) that it converted for student housing. That facility was in service as a residence hall until 2008.

**Parking Facilities:** The parking facilities have a total capacity of 11,307 spaces for vehicles, with 36 large surface lots, 56 small surface lots, and a five-level parking garage. Of this total, 2,451 spaces serve faculty and staff; 3,015 spaces serve students living in residence halls and apartments; 3,169 serve students, faculty, and staff; and 524 serve visitors. The balance is for commuting students and miscellaneous parking options.

The data suggest that the University is in a strong position, with its Housing & Auxiliary Facilities achieving levels of occupancy that generate sufficient revenue. This is essential for the University to maintain its good debt service coverage of bonds and other financial obligations for these facilities. The University has a respectable bond rating. In August 2012, Moody’s Investors.

Table 5.A.1.a-5

<table>
<thead>
<tr>
<th>Housing Occupancy by Type (FY 2012 Design Capacity)</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residence Halls (3,192)</td>
<td>3,405</td>
<td>3,226</td>
<td>3,004</td>
<td>2,816</td>
<td>2,473</td>
<td>2,615</td>
<td>2,771</td>
<td>2,979</td>
<td>3,110</td>
</tr>
<tr>
<td>Apartments (836)</td>
<td>801</td>
<td>798</td>
<td>687</td>
<td>697</td>
<td>714</td>
<td>729</td>
<td>779</td>
<td>842</td>
<td>828</td>
</tr>
<tr>
<td>Apartment Styled Housing (275)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>260</td>
<td>259</td>
<td>267</td>
</tr>
</tbody>
</table>
campaign, the “North Dakota Spirit/Campaign for UND,” with a goal of $300 million. As of the spring of 2013, that fundraising target was met, with several months of the campaign yet to go. The most ambitious campaign in the University’s history, the fundraising is aimed at enhancing UND’s commitment to its students, educators, programs, and physical infrastructure. These capital campaign priorities, linked to former and current strategic priorities, focus on the following areas.

- **Passionate Students:** One of UND’s highest priorities is increasing the number of private scholarships available to students.
- **Inspirational Educators:** Building endowments to support faculty will dramatically strengthen the University’s ability to retain and recruit faculty leaders.
- **Innovative Programs:** UND will strengthen programs in energy, life sciences, rural health, and more.
- **Extraordinary Places:** Building and infrastructure priorities include:
  - Enhanced laboratory spaces
  - Continued investments in technology
  - An indoor athletic training complex
  - An alumni center
  - A new College of Business & Public Administration building

More than $297 million had been pledged through December 31, 2012, and the target was met early in 2013. The campaign will conclude in October 2013, and preliminary planning by University and Association/Foundation leadership is under way for the next capital campaign.

Service assigned an Aa3 rating with a stable outlook to UND. Moody’s reported that its rating rationale reflected UND’s market position as North Dakota’s flagship institution with strong support from the state (Aa1/Stable), good diversity of revenues, and a healthy ratio of financial resources to debt cushion. The rating also incorporated the University’s modest enrollment growth over the past several years, its stable operating performance, and its continued reliance on nonresident students to mitigate a trend of declining high school-age students in the state. Thus, according to an external evaluation, the University has capacity to meet its obligations.

**Capital Campaign:** In conjunction with the UND Alumni Association & Foundation, the University is completing a comprehensive capital campaign.
Expenditures: Evidence of a steady and predictable revenue stream is an indicator of financial health and capacity. Expenditure allocation levels, examined by function and within each fiscal year, demonstrate institutional stability. In terms of dollar amounts, UND’s operating expenditures grew between 2004 and 2012 (Figure 5.A.1.a-3). Like revenue streams, the University’s operating expenditures by function have remained consistent in share of expenditures (Figure 5.A.1.a-4 and Figure 5.A.1.a-5). For instance, instruction has remained the primary expenditure, at 39 percent of the total in 2004 and now 40 percent in 2012. Other categories, such as academic support, student services, scholarships, physical plant, and auxiliary enterprises, have remained unchanged in share of expenditures. There were slight declines in areas such as institutional support and public service, while there was a slight uptick in research (i.e., a 2 percent increase). This steady increase reflects the University’s efforts in the last decade to emphasize and support the research enterprise as a greater priority, but at the same time, the modest changes in expenditure (rather than dramatic shifts) demonstrate the University’s incremental approach consistent both with maintaining momentum and retaining its organizational culture.

Moving Forward: There are several challenges that will face the University in future years. A degree of uncertainty and, thus, limited ability to plan pose one obstacle. The North Dakota University System office is examining new tuition models, and the North Dakota legislature is considering different budgeting models. Until these issues are resolved, uncertainty about funding streams will remain, though University leadership is aware of these challenges and therefore can take
them into account. In addition, like many other colleges and universities, UND faces the reality of increasing costs of nonsalary inflationary expenses such as utilities, employee health insurance premiums, and library resources. While the University has been able to meet these obligations, the unpredictable increases serve as an ongoing challenge.

5.A.1.b – Human Resources

The University has built its leadership team with careful consideration of mission and the changing environment. This has included managing growth while continuing a commitment to excellence in teaching, research and scholarship or creative activities, and service. The current administration has focused on developing a leadership team with a shared set of goals and priorities, and building an academic community with a focus on enhancing the campus environment.

Managing Growth: As of 2012, UND employs over 2,800 benefited faculty and staff. To further the mission of teaching, scholarship or creative activities, and service, the University has managed its growth over the past decade with a corresponding growth in and support of its human capital base. Accordingly, while student FTE enrollment has increased by approximately 12.6 percent between 2006 and 2012, the University has increased its faculty at a similar pace. UND has maintained a fairly consistent faculty-to-student ratio of approximately 17:1, as calculated using both student and instructional faculty full-time.

### Table 5.A.1.b-1

**Examining Student Enrollment and Faculty to Construct Student–Faculty Ratio**

<table>
<thead>
<tr>
<th></th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Enrollment</td>
<td>12,834</td>
<td>12,559</td>
<td>12,748</td>
<td>13,172</td>
<td>14,194</td>
<td>14,697</td>
<td>15,250</td>
</tr>
<tr>
<td>FT Enrollment</td>
<td>10,460</td>
<td>9,976</td>
<td>10,192</td>
<td>10,215</td>
<td>10,845</td>
<td>10,992</td>
<td>11,382</td>
</tr>
<tr>
<td>PT Enrollment</td>
<td>2,374</td>
<td>2,583</td>
<td>2,556</td>
<td>2,957</td>
<td>3,349</td>
<td>3,705</td>
<td>3,868</td>
</tr>
<tr>
<td>FTE Enrollment</td>
<td>11,251</td>
<td>10,837</td>
<td>11,044</td>
<td>11,201</td>
<td>11,961</td>
<td>12,227</td>
<td>12,671</td>
</tr>
<tr>
<td>Total Faculty</td>
<td>706</td>
<td>705</td>
<td>714</td>
<td>739</td>
<td>752</td>
<td>772</td>
<td>797</td>
</tr>
<tr>
<td>FT</td>
<td>631</td>
<td>628</td>
<td>640</td>
<td>660</td>
<td>683</td>
<td>699</td>
<td>721</td>
</tr>
<tr>
<td>PT</td>
<td>75</td>
<td>77</td>
<td>74</td>
<td>79</td>
<td>69</td>
<td>73</td>
<td>76</td>
</tr>
<tr>
<td>FTE Faculty</td>
<td>656</td>
<td>654</td>
<td>665</td>
<td>686</td>
<td>706</td>
<td>723</td>
<td>746</td>
</tr>
<tr>
<td>Student–Faculty Ratio</td>
<td>17:1</td>
<td>17:1</td>
<td>17:1</td>
<td>16:1</td>
<td>17:1</td>
<td>17:1</td>
<td>17:1</td>
</tr>
</tbody>
</table>
These changes especially reflect the retirement of President Charles Kupchella (who was in office during the prior HLC reaccreditation process), subsequent retirements, and strategic changes to advance the University’s mission initiated by President Robert Kelley, in office since 2008. All members of the current leadership team were hired between 2008 and the present. One position, Vice President for General Administration, was eliminated. In 2011, the Vice President for Student & Outreach Services was reconfigured as Vice President for Student Affairs. In 2012, the new position of Vice President for University & Public Affairs was created to advance the University’s ability to communicate and conduct outreach effectively. In 2012, Provost and Vice President of Academic Affairs Paul LeBel announced his intention to step down from that role and return to the faculty after more than four years in the position. A new Provost, Tom DiLorenzo, assumed that office in May of 2013.

These changes in leadership have involved significant institutional transition. For the past few years, offices and staffing have been evaluated within divisions and throughout the University to determine sufficiency and organizational alignment. To assist in evaluating alignment, the University has engaged consulting firms and continues to focus on shaping staffing in ways that reflect the University mission, vision, and culture. In addition, both consultants and members of the University community have given input on emerging professional, social, and economic factors that merit consideration in planning organizational structure and staffing. The Exceptional UND roadmap has been in place to guide development of President Kelley’s leadership team as well as provide a

 equivalents. The exception was a single year (2009) when faculty growth slightly outpaced student growth (Table 5.A.1.b-1). Further, the University has maintained a fairly consistent faculty composition with faculty who are overwhelmingly full time and nonclinical. As a whole, the data demonstrate continuity in increasing the number of faculty at a rate that parallels student population growth, as well as an ongoing commitment to employing full-time nonclinical faculty as the primary instructional team.

During this same period, UND added staffing in several key categories to support faculty work, provide students with greater opportunities to engage in research, and assist students in their academic progress. One of these staffing categories included graduate assistants. From 2006 to 2012, the total number of graduate assistantships grew by nearly 11 percent. The percentage of postdoctoral and research positions also increased at a much more substantial rate of 61 percent. This rate represents only 11 additional lines but it does signify the increased emphasis on supporting the University’s research efforts. Professional staff within academic operations grew by 30 percent. The ratio of FTE student to FTE benefited employees held steady at 4:1 between 2007 and 2011, and increased slightly to 5:1 in 2012. Collectively, these added personnel lines reflect the University’s responsiveness to the mission-driven areas of teaching, research/scholarly activities, and service.

New Leadership Team: Since the last HLC visit, UND has experienced significant changes in its senior leadership team, as has been the case in the North Dakota University System (NDUS), which has its fifth Chancellor since 2003. At UND,
foundation for decisions about organizational structure.

**New Positions Dedicated to Enhancing the Campus Environment:** Recently, the University approved the addition of two key positions, a senior leadership position as Chief Diversity & Inclusion Officer or the equivalent, and a University Ombuds. Both positions align with the strategic priority of enhancing the quality of life as outlined in Exceptional UND.

In July 2012, UND's Diversity Advisory Council (DAC) issued a report which recommended the appointment of a senior leadership position in diversity and inclusion. President Kelley approved the creation of this new position in September 2012 as a step toward strengthening and advancing the university's commitment to diversity and inclusion. As President Kelley remarked, “Becoming an exceptional UND means that we will create and maintain a diverse, welcoming and inclusive campus environment that values difference as a critical element of discovery and learning,” (section 1.C). It is anticipated that the position’s portfolio will be designed and a hire will occur in the 2013-14 academic year.

Discussion about the possibility of hiring an Ombuds began much earlier. The President’s Advisory Council on Women recommended the position in 2003 as a strategy to improve the campus climate for women. In the 2005 Strategic Plan II, the University listed exploration of the need for an Ombuds position among its planned action items (Building on Excellence, Page 39). With the change in University leadership, the discussion was temporarily halted. It regained traction in 2011-2012 when a University Senate Committee explored the idea further, eventually presenting a recommendation that the University create the position. In 2012, President Kelley authorized the appointment of a University Ombuds, and an ad hoc Ombuds Committee drafted and posted the position, described as a half-time, benefited position to be hired as a one-year pilot. An individual is expected to begin serving in the position by May of 2013 (University Senate Minutes) (section 2.A).

**Transition in Athletics from NCAA Division II to Division I:** In July 2007, UND started its official exploratory year for the transition from an NCAA Division II to Division I school. Division I represents the highest level of intercollegiate athletics competition. To analyze and synthesize the issues arising from the transition, the University established the Division I Commission, co-chaired by then-Vice President for Student & Outreach Services Robert Boyd and then-Director of Athletics Tom Buning. The 35-member commission included representation from the full spectrum of constituencies: faculty, staff, alumni, students, and community members. Many of these representatives had significant knowledge in specialized areas, including advancement, finance, public relations, student development, and technology.

The Division I Commission recommended an increase in athletics program staffing to address the changes in terms of growth of the programs, depth of the program leadership, and compliance with NCAA regulations and necessary support. In 2007, prior to the transition, the athletics office had 48 staff members. By 2012, the staff had grown by another 50 percent to 70 members. The increase of 24 lines included 14 administrative staff and 10 coaches (President Kupchella addresses Division I).
Criterion 5

resources with those at a peer/aspirant institution, the University of Kentucky, demonstrating the need for additional permanent technical staff for core research facilities. “For example, the University of Kentucky has 19 staff and 35 faculty in its Chemistry Department; UND has 3.75 staff for 15 faculty in its Department of Chemistry (Strategic Plan 2010, Page 12). The lack of such administrative and technical support is an important constraint on UND’s research productivity.” While the University has made significant efforts in adding critical lines such as the addition of a new export control officer and a leader of economic development activities, UND will require more attention to this area as its research enterprise continues to expand.

5.A.1.c – Physical Infrastructure

The University of North Dakota has 243 buildings on 548 acres (Financial Report FY12, Page 2). As of 2011, the campus (Progress Report FY11, Page 31) consisted of 6,381,476 square feet of building space. That figure reflects an increase of 22 percent since 2005-2006. The total campus building space includes leased apartments and Foundation-owned facilities that the University leases. Over the past decade, the University has invested significantly in its physical infrastructure. In addition, it has engaged in continuous review of physical infrastructure through assessment and planning. These efforts demonstrate that UND is maximizing existing infrastructure, but significant infrastructure needs remain and must be addressed in order for progress to continue.

Since 2003, the University has invested in upgrading its physical infrastructure. Between 2003 and 2012, the value of UND’s buildings, including new construction and improvements to

These increases in staffing responded to the UND Division I Commission’s general recommendations to address Division I needs.

Commitment to Scholarship and Creative Activities: The staffing needed to support research activities has been repeatedly identified as sufficient to meet minimum operations. Interviews with leaders within the Division for Research & Economic Development and the Division of Academic Affairs, as well as with academic deans, emphasized the need for additional staffing for administrative and technical support, such as grants/contracts staff, laboratory technicians, and research compliance experts. To illustrate current human resource limitations, the strategic plan for the Division for Research & Economic Development compares UND’s staff
Housing and Dining: As a residential college, the consistent growth of the University’s enrollment in the last decade led to a corresponding growth in housing and dining facilities. The facilities growth was responsive in part to need and priorities, and in part to the observation made by the visiting HLC team in 2003 that UND was at maximum residential capacity. To assist in planning, UND hired two architecture and planning firms, Solomon Cordwell Buenz (SCB) and Brailsford and Dunlavey (B&D), in 2004 to complete a residential master plan encompassing the on-campus university-owned existing structures, increased by 59 percent (Table 5.A.1.c-1). Land value increased by 19 percent and the value of physical infrastructure improvements other than land (e.g., site improvements, utility systems, parking lots) increased by 13 percent (Table 5.A.1.c-1). Efforts to upgrade the University's physical infrastructure are divided into the three areas of housing and dining, classroom and research facilities, and other facility additions and improvements.  

### Table 5.A.1.c-1  
**Capitalized Value of Plant Assets per Statement of Plant Assets**

<table>
<thead>
<tr>
<th></th>
<th>6/30/2003</th>
<th>6/30/2012</th>
<th>Change</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Land</td>
<td>$5,469,713</td>
<td>$6,499,711</td>
<td>$1,029,998</td>
<td>19%</td>
</tr>
<tr>
<td>Improvements other than Buildings</td>
<td>$71,949,707</td>
<td>$81,058,625</td>
<td>$9,108,918</td>
<td>13%</td>
</tr>
<tr>
<td>Buildings</td>
<td>$231,102,266</td>
<td>$366,666,752</td>
<td>$135,564,486</td>
<td>59%</td>
</tr>
<tr>
<td>Leasehold Improvements</td>
<td>$2,010,028</td>
<td>$2,010,028</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>Library Books</td>
<td>$43,701,173</td>
<td>$66,168,734</td>
<td>$22,467,561</td>
<td>51%</td>
</tr>
<tr>
<td>Equipment</td>
<td>$85,017,818</td>
<td>$115,350,769</td>
<td>$30,332,951</td>
<td>36%</td>
</tr>
<tr>
<td>Intangibles</td>
<td>$1,463,747</td>
<td>$1,463,747</td>
<td>$0</td>
<td>-</td>
</tr>
<tr>
<td>Construction in Progress</td>
<td>$6,183,618</td>
<td>$4,820,127</td>
<td>$-1,363,491</td>
<td>22%</td>
</tr>
<tr>
<td>Total</td>
<td>$443,424,295</td>
<td>$644,038,493</td>
<td>$200,614,198</td>
<td>45%</td>
</tr>
</tbody>
</table>

### Table 5.A.1.c-2  
**Increase in Facility Values, 2003 to 2012**

<table>
<thead>
<tr>
<th></th>
<th>6/30/2003</th>
<th>6/30/2012</th>
<th>Change</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing &amp; Dining Facilities*</td>
<td>$39,680,557</td>
<td>$72,902,147</td>
<td>$33,221,590</td>
<td>+84%</td>
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<tr>
<td>Other Facilities*</td>
<td>$193,772,502</td>
<td>$301,206,519</td>
<td>$107,434,017</td>
<td>+55%</td>
</tr>
</tbody>
</table>

*Includes tunnels, skywalks, and construction in progress.*
residence halls and apartment buildings. A physical assessment, analysis, and master planning of campus housing was completed. The housing master plan called for creating living and learning programs, implementing “goal” housing in residence hall communities, and increasing the quality of campus housing. In response to that plan and aligned with the University’s priorities, UND invested in these facilities. Consequently, the capitalized value of housing and dining facilities, based on cost, increased from $39.7 million in 2003 to $72.9 million in 2012 (+84 percent) (Table 5.A.1.c-2).

Several building projects illustrate the expansion. University Place, built in 2007, is the largest housing addition, built at a cost of $19.7 million and providing 275-bed apartment-style housing (“goal” housing). University Place provides double and single bedroom units with full kitchens and living rooms. Its main floor is accessible to the public during the day and includes meeting rooms, the Stomping Grounds Coffee Shop, a convenience store, and lounge space. Apartment units have controlled access and are located on four floors. Students must have achieved sophomore status to be eligible for this housing option.

UND also added Hamline Square, a 77-unit, 203-bed apartment facility located north of the Ralph Engelstad Arena, to its housing options. Hamline Square was built by a private developer and is managed by UND. The $8 million facility has two-, three-, and four-bedroom apartment units with underground parking, washer and dryer hookups, and large square footage.

Several renovation projects designed to make the campus residential community more attractive to students were also prioritized. Bathroom renovations, undertaken in Johnstone and Fulton Halls in 2003-04, converted community baths to private bathrooms. The $1.8 million bathroom renovations provided more private and secure spaces and included ADA-compliant bathrooms. In planning renovations, the Housing Office has prioritized risk management and life safety upgrades (like fire alarm, sprinkler systems), ADA accessibility, and furniture replacements.

Squires Dining Center, one of three campus dining centers, underwent a $2.7 million renovation in 2007. The facility now offers modern décor with a variety of restaurant-style seating options and several display cooking platforms, providing students with multiple cook-to-order and fresh food concepts to increase student satisfaction and, thereby, increase the number of students using the facility. Squires Dining Center is also used for programming and as a casual study space.
In 2010, UND again engaged SCB to update the 2004 housing master plan. Recommendations in the updated plan included (1) renovations and an addition to Wilkerson Dining Center, the largest dining center on campus, and (2) demolishing the West Green #2 apartments and replacing them with townhomes. UND has legislative authority for both of these projects, which would be funded with revenue bonds. The Wilkerson project, originally estimated at $14 million, has since expanded significantly as the result of recommendations from a visioning group that worked with SCB and an architect firm in the spring of 2012. Additional planning and analysis is under way for the Wilkerson project because of its size and complexity. UND is seeking legislative authorization in 2013 to increase the project to $29 million. The townhome project is on hold pending completion of a campuswide comprehensive master plan.

In addition to these major projects, the University routinely updates all the residence halls by painting, carpeting, and installing new furnishings. Wireless service is available in all of the residence halls, and most apartment units have access to DSL, which is currently being upgraded.

**Classroom and Research Facilities:** A significant portion of UND’s physical infrastructure investment is in classroom and research facilities. Highlights of these investments include the new home of the College of Education & Human Development, the Northern Plains Center for Behavioral Research, the National Center for Hydrogen Technology, the Energy & Environmental Research Center (EERC) Office & Conference Center, the Family Medicine Centers, and the recently completed SCALE-UP classroom.

As a result of an $11.2 million appropriation by the North Dakota Legislature, the 56-year-old Education & Human Development Building recently received a comprehensive renovation and addition. Emphasizing UND’s “green” initiative and good stewardship of resources, the building was constructed to Leadership in Energy and Environmental Design (LEED) standards and awarded Silver LEED certification in October 2012. Renovations and additions include 14 classrooms, two lecture halls, four seminar rooms, five conference rooms, and faculty offices. With numerous healthy-living adaptations incorporated into its design, upgrades in technology to enrich student learning, and more open spaces to promote gathering and the sharing of ideas, the new Education Building is a tangible example of the University’s “Exceptional UND” initiatives all under one roof.

The $3.9 million Northern Plains Center for Behavioral Research, dedicated in 2008, is one of the first in the nation built with National Institutes of Health funding to facilitate the work of scientists in nursing and psychology partnering with interdisciplinary colleagues in the behavioral sciences. The Center is used by multidisciplinary faculty to explore conditions such as reintegration needs of rural National Guard members and families post-deployment, nutritional effects on mood and cognitive flight performance, and cultural preservation of American Indians in the face of waterway conflicts. These research initiatives build on current studies with vulnerable populations in the state and region, including the elderly, American Indians, children, pregnant women, and their families.
The National Center for Hydrogen Technology, an EERC space, was constructed in 2008 at a cost of $3.5 million. The 15,000-square-foot facility provides researchers with state-of-the-art laboratory space and equipment needed to enhance research, development, testing, and commercialization of hydrogen and fuel cell technologies.

The EERC dedicated a $6.5 million 47,000-square-foot office and conference center addition in 2004. This project enhanced the EERC’s existing 169,000-square-foot facilities and included two three-story buildings to accommodate 90 additional staff, as well as meeting rooms to accommodate more than 300 people. In addition to the construction project, some of the EERC’s existing facilities received a $1.5 million upgrade, including interior remodeling, mechanical replacements, and new windows.

New family practice clinics in Minot and Bismarck were constructed by the School of Medicine & Health Sciences. The Minot Center for Family Medicine opened in 2004 and the Bismarck Center for Family Medicine opened in 2012.

Other significant improvements occurred with far fewer dollars, but were equally valuable in contributing to the academic and research endeavors of the UND community. For instance, Harrington Hall underwent a $1.5 million renovation. The renovated space provides refurbished laboratory space for the Chemical Engineering Department, including facilities for Sustainable Energy Research Initiative and Supporting Education (SUNRISE) researchers. SUNRISE is a multi-institutional, multidisciplinary, collaborative project addressing sustainable energy and associated technologies. The flight hangars operated by the School of Aerospace Sciences at the airport underwent a $2 million renovation in 2003 and a $1.5 million renovation in 2011.

More recently, the University has created a new academic space to further its strategic priority of enriching the student learning experience. In 2012, UND completed a $1.3 million renovation project to create a SCALE-UP classroom—the largest such classroom in the region (section 3.D.4.b). SCALE-UP stands for Student-Centered Active Learning Environment for Undergraduate Programs. The classroom is an innovative, state-of-the-art teaching space, or “learning environment.” With a capacity of 180 students, the SCALE-UP room is outfitted with computers, multiple video screens, and other technology, configured to change the way instructors teach large lecture-style classes, especially those in the sciences. Given the significance of this physical upgrade of a major instructional space, the University also provided faculty development training and summer development funding to aid faculty in making the necessary changes to their teaching strategies for courses taught in the SCALE-UP room.

Other Facility Projects: Other facility projects since 2003 have also contributed to the life and development of the UND community.

A new Student Wellness Center, state of the art in every way, opened in 2006. The $18 million project was funded through revenue bonds that are being retired by a student fee—a fee that was supported by student leadership and a vote of the student body. The Wellness Center has 107,000 square feet of space consisting of workout floor areas, offices, locker rooms,
UND. Services include recruitment, transitional support, a highly successful retention program, tutoring, study skills, ongoing encouragement, and advisement (academic, financial aid, personal, social, and cultural).

Parking is a significant component of the campus physical infrastructure, and a lack of parking was an area of concern noted in the HLC team report following the 2003 comprehensive reaccreditation visit. In 2003, prior to the 2003 visit, the University retained Walker Parking Consultants to respond to a number of concerns and objectives regarding parking, including concerns that the University was approaching its maximum assigned spaces. A primary consideration was to fairly represent the interests of all parking user groups, including students, visitors, faculty, and staff, while also considering the financial responsibility of the University. To meet current and future parking needs on campus, Walker Parking Consultants recommended construction of a parking structure to supply approximately 800 additional parking spaces in proximity to the academic core of the campus.

In accordance with the recommendation, a five-level, 750-space, $17 million parking ramp was constructed at the east end of campus. The parking ramp project also included the construction of a tunnel connecting the parking ramp stairwell tower with Swanson Hall, a residence hall, which itself connects by tunnel to the Memorial Union. A skywalk from the stairwell on the opposite side of the ramp crosses Columbia Road, providing access to the large surface-parking lot east of the parking ramp site. The skywalk allows pedestrians to safely access the campus from the parking lot via the skywalk, parking ramp, and tunnel system. There

and wellness instructional rooms. The Center offers self-conducted exercise, personal training, rock climbing, cooking lessons, meditation, and intramural sports.

Renovations to student facilities included a $5 million renovation of the Memorial Union completed in 2004. Since its renovation, student satisfaction data indicate increasing satisfaction levels with a 90.3 percent rating in 2008, up from 85 percent in 2004 and up from 73.7 percent in 2001 (pre-renovation).

UND also invested $500,000 in the construction of the American Indian Student Services (AISS) Center. The office of AISS provides culturally appropriate student support services designed to enhance the academic and personal success of American Indian students attending
With the focus on creating an Exceptional UND, the University is actively engaged in evaluating its physical infrastructure in a more strategic and developmental manner.

are four stair towers constructed as part of the project, three on the parking ramp structure and one stand-alone tower supporting the east end of the skywalk. Each tower has an elevator to make the system fully accessible. The stair towers, tunnel, skywalk, and walkway within the parking ramp are heated and air-conditioned.

In addition, the University commissioned a pavement condition assessment in 2011. The purpose of that assessment was to provide data for the University's capital improvement plan for parking lots and roadways.

Assessments and Planning: UND continues to monitor the adequacy of the campus physical infrastructure. North Dakota State Board of Higher Education (SBHE) Policy 901 stipulates that each campus must have a master plan, updated annually, that identifies future facility requirements for anticipated changes in enrollment and in academic, research, and public service programs. These plans are to be developed consistent with guidelines set forth by the NDUS Chancellor. The master plan also is to document and substantiate the institution's biennial capital budget priorities. A new campus master plan is to be completed every six years.

Practically speaking, the SBHE requirement functions more as an inventory and status report of physical assets than a comprehensive master plan. With the focus on creating an Exceptional UND, the University is actively engaged in evaluating its physical infrastructure in a more strategic and developmental manner. Institutional priorities serve as one of the primary guides. Further, the institution continues to consider quality issues and technology needs that must be addressed to ensure that physical resources continue to meet 21st-century demands.

UND has commissioned numerous studies and plans in the last 10 years to evaluate the state of campus infrastructure. These reports have included a space utilization study, utility master plan, boiler useful life evaluation, athletic master plan, housing master plan, and building assessments (e.g., Strinden Center, Stone House). There is an impressive collection of data; however, connecting these studies to an overarching master plan is needed.

The Vice President for Finance & Operations appointed a master planning process steering committee in July 2012. The committee was charged with development of a comprehensive campus master plan addressing facility needs (academic, research, athletic), parking, traffic, green space, recreation, infrastructure, utilities, historic preservation, residential planning, and related matters holistically. Steering committee members represent a broad range of constituent groups, and each was given the responsibility of maintaining connections and facilitating communication with their respective constituencies.

While this groundwork was laid, subsequent events altered these initial plans. The newly appointed NDUS Chancellor announced that his office intends to undertake a master planning process at the system level, and a funding request was included in the 2013-2015 biennial budget submission. To provide an opportunity for the NDUS to construct its plan, which would undoubtedly impact UND’s own planning, the system office asked UND to scale back its master planning effort in order to enable UND to participate more fully in the Chancellor’s vision.
and plans. So that UND’s progress would not be stalled in the meantime, the NDUS granted UND approval to proceed with an assessment of space utilization, particularly classrooms/labs for learning space improvement as well as student service areas, to inform development of a space utilization/management policy. As part of the space assessment, the following items are to be examined: (1) confirmation of the site location of a proposed student townhome project, (2) evaluation of appropriate academic (or other reuse) options for older space that becomes available as a result of new facilities coming on line, (3) evaluation of the area surrounding the Wilson Laird Core & Sample Library in the College of Engineering & Mines to determine options for building expansion, (4) assessment of further development of the north quadrant area (Bronson Property) for connectivity to the campus core to enhance the University/community, (5) continuation of systematic facility assessments targeted to buildings perceived to be in the greatest need of attention, and (6) definition of infrastructure needs that result from the above assessments. The intent is that, once completed, this report and existing assessments will guide the NDUS master plan and support UND’s campus development in a manner that aligns with the institution’s mission and vision.

Advancing a Socially Conscious Planning Approach: A noticeable shift in facilities planning efforts took place over the past decade. The University took steps to advance a socially conscious planning approach that includes sustainability through green technologies. In the spring of 2008, then-President Charles Kupchella signed the American College and University Presidents’ Climate Commitment (ACUPCC), pledging to reduce the institution’s carbon footprint and energy consumption. As the first institution in North Dakota to sign the AUPCC, UND demonstrated its commitment to taking a leadership role on sustainability issues that is viewed as essential to the education of students and the institution’s role in the community.

A Council on Environmental Stewardship and Sustainability was appointed and charged with developing and implementing a climate action plan to reduce the University’s carbon footprint. The council completed a Greenhouse Gas Inventory in January of 2009 and subsequently developed the Climate Action Plan.

The Climate Action Plan cites many steps the University has taken to advance its climate commitment, including construction of a LEED-complying residence hall, the silver LEED-certified Education Building, and the platinum LEED-seeking UND Alumni Association & Foundation’s Gorecki Alumni Center. The University also implemented a comprehensive energy efficiency improvement program to reduce electrical and steam usage using state bond funding which is repaid with savings generated through the efficiencies. The lighting efficiency program alone eliminated the use of the equivalent of 164,610 100-watt bulbs.

In May 2010, President Robert Kelley submitted the University’s Climate Action Plan to the AUPCC Committee. UND received an overall grade of ‘B’ on the 2011 Green Report Card, an improvement from the overall grade of ‘C+’ on the 2010 Green Report Card. UND received one subsection ‘A’, for climate change and energy. In this category, the Report Card comments that ‘the university has completed greenhouse gas emissions
The primary SMHS structure on the UND campus is a retired hospital constructed in 1952 and repurposed in 1988 as the SMHS. It currently contains nearly 380,000 gross square feet with multiple additions over the years. The existing facility presents challenges for educating today’s medical and health service providers, regardless of the enrollment increase. The space study concluded that needs are significant:

- The size, shape and configuration of most of the educational spaces are inadequate. Many of the classrooms, labs, Patient-Centered Learning (PCL) environments and lecture halls are overcrowded and recommended clearances are unobtainable – compromising the effectiveness of the learning environment and creating safety concerns in some instances.
- Offices are tailored around the original spacious 1952 patient care rooms, each containing their own bathroom, resulting in an inefficient use of space. Major renovations are required to reduce them to sizes that more closely represent a standard for higher education needs.

Illustrating the physical limitations, the study team observed that the “existing facility is at maximum capacity (and beyond) in several areas to accommodate the current student enrollment. As an example, teaching wet labs are scheduled at 173 percent of their capacity” (Space Utilization Study, Page 3). Given these concerns, the University is seeking, for the 2013-15 biennium, legislative approval of and state funding for a renovation and addition to the SMHS facility. The outcome of this request is unknown as of this writing.

Moving Forward: The University has identified and prioritized two campus facilities integral to its educational mission that require significant physical infrastructure attention, the School of Medicine & Health Sciences and the School of Law. In addition, the University needs to construct a plan that clearly outlines funding sources and timelines to address deferred maintenance issues.

Space for the School of Medicine & Health Sciences (SMHS) is one need. In 2011, the state legislature authorized the SMHS to increase student enrollment, in large part to meet state needs. SMHS presented data demonstrating workforce shortages in the state’s health care labor pool. Offering a plan to close part of that gap, SMHS proposed its Healthcare Workforce Initiative, which included expansion plans allowing the School to prepare additional medical and public health practitioners, therapists, and other health professionals needed to serve North Dakota’s changing health care needs. This enrollment expansion impacts space. During that same legislative session, the state awarded the University’s SMHS a one-time appropriation to conduct a space utilization study.

The second area of campus with significant physical infrastructure needs is the School of Law. The UND School of Law has an urgent need for 30,000 square feet of additional space, as well
Deferred maintenance is another significant concern. For the 2011-2013 biennium, the University received one-time funding from the legislature to address deferred *maintenance items*. This funding was in addition to the *repairs and general maintenance* funds normally received. As a result, many major projects were completed during the fiscal year, such as re-roofing projects in Twamley and O’Kelly Halls, the Medical School HVAC repairs, mechanical/electrical work in Gamble Hall and the Fargo Medical Center, and brick repairs for Odegard Hall. In addition, more *minor projects*, including street repairs, painting, water main replacements, and plumbing work, were completed.

While the 2011-2013 biennium funds did assist the University in addressing facilities needs, the University does not have a consistent financial source to draw upon for ongoing maintenance and no definitive schedule for renovations has been developed. In fact, the University’s 2012 *Campus Master Plan* notes that deferred maintenance and a practical means of servicing associated costs liability continues to be a major facilities concern. As of 2012, UND reports between $50 million and $75 million in deferred maintenance liabilities, particularly in paving, parking, and building mechanical systems.

5.A.1.d – Technological Infrastructure

The University’s information technology plans and initiatives reflect a continuous improvement process guided by three overarching goals: (1) establishing a comprehensive infrastructure that responds to the current needs of the University community, (2) building capacity in a responsive manner that adapts to new technologies and future needs, and (3) partnering with the North
Dakota University System with a shared vision and complementary services.

**Establishing a Comprehensive Infrastructure:** In the fall of 2008, UND initiated a review of its information technology using a five-part analysis. The review examined technology through the lens of application and service, the core and enabling infrastructure, outreach and public service, research, and teaching and learning. After a year of data collection that engaged a cross section of campus and consisted of an iterative process allowing formulation of and feedback on working plans, the Chief Information Officer (CIO) implemented a series of initiatives and action items to develop a comprehensive and responsive informational technology infrastructure intended to be adaptable to future needs and emergent technologies. For instance, the plan led to the creation of a Smart and Technology Enhanced Classroom Typology with six tiers (i.e., Basic Tech, Basic +, Smart 1 Intermediate, Smart 2 Smart, Smart 3 Enhanced, and Hybrid) along with a schedule for installing new equipment and upgrading rooms in six academic buildings that had not previously received adequate attention (Figure 5.A.1.d-1). The smart classroom typology considers current technology as well as equipment maintenance and upgrades. Beyond the physical campus, the plan identified an opportunity to support both on-campus and distance students through the creation of virtual computer labs. Beginning in 2010, the University entered into a service agreement with Citrix to host application/software, which UND users can access remotely. The application virtualization makes it possible for distance students to use high-cost, specialized software such as AMOS, ChemCAD,

**Figure 5.A.1.d-1**
Cumulative Progress of Technology Enhancements in Classrooms

<table>
<thead>
<tr>
<th>Year</th>
<th>Number of Upgraded Technology</th>
<th>Number of New Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>263</td>
<td></td>
</tr>
<tr>
<td>2009-10</td>
<td>244</td>
<td></td>
</tr>
<tr>
<td>2008-09</td>
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</tr>
<tr>
<td>2001-02</td>
<td>93</td>
<td></td>
</tr>
</tbody>
</table>
and ProEngineer from their sites, rather than having to purchase the application or drive to campus. Further, the application virtualization provides greater efficiencies within the information technology unit because each terminal of the various computer labs does not require the various licenses for specialized programs or even for common applications such as those found within the Microsoft Suite. Virtualization makes upgrades and new software access easy to implement and affordable. The plan also included adopting services that provide on-demand tutorials on the uses of various software applications. Those tutorials provide training and development for UND staff and students, offer support at any time and in any place, and allow the information technology staff to place greater emphasis on other user support services.

**Building Capacity:** Many initiatives that emerged from the information technology (IT) planning both address current needs and build capacity in support of the educational and research mission, including direct support of student learning. Recently, the University enabled the content system within Blackboard to include among the options a file storage component and ePortfolios; UND adopted a new student email system that has greater storage capacity and calendar functions; it consolidated technical support and now offers longer hours and multiple contact points (e.g., chat, email, and phone) for assistance; it negotiated programs for uniform purchasing with greater discounts and significant software discounts for students, faculty, and staff; it conducted a major website overhaul for consistency in branding and information access; it expanded the number of entry points that operate with a single campus login feature; it created numerous collaborative workstations across campus; it upgraded the campus from 10MB to 1G to enhance participation with Internet2; and it continues to support a High Performance Computing service for research, particularly research that involves intricate numerical modeling and data-intensive simulations.

While the University has adopted such key initiatives and taken actions that build on existing technological infrastructure, UND’s IT also operates in concert with the administrative functions of the state and the North Dakota University System (NDUS). The adoption of PeopleSoft as the statewide information management system, operating under ConnectND (the name given to the state’s adoption of PeopleSoft as common system software) is a key example. With the goal of creating more seamless information exchange among state agencies, the state of North Dakota rolled out PeopleSoft as the primary solution for state data in 2005. The system includes key operational modules for UND functions such as finance, human resources, and student administration. Due to understaffing and lack of coordination and communication at the system level, campuses struggled with implementation from go-live through the next three to five years. Today, however, PeopleSoft is functional and serving the University quite well.

One challenge for the campus is regarding ConnectND governance. The two largest and only research institutions in the state, UND and North Dakota State University, enroll approximately 30,000 students while the other nine college campuses that share the PeopleSoft system enroll approximately 10,000 total students. Yet, each
Finally, the most significant shared operation between NDUS and UND is a joint facility, service, and data warehouse. Furthering the integration, in December 2012 the University entered into a service-level agreement with the NDUS, placing the system as the information technology source for networking, server administration, integrated services, enterprise services, and the CIO office. Support services involving assistance with network access, application support, email assistance, PC and Mac support, and classroom and instructional services, however, remain with the UND Tech Support team.

Moving Forward: While the technological infrastructure is strong and continuing to develop, the University may face challenges as it tries to build on its momentum. One area of concern is funding sustainability. Most of the funds used to upgrade the campus technology originated from student fees. As UND revisits its funding model, regular budget allocations for this area are necessary if the University is to continue responding to new technologies and needs. This is particularly important for addressing potential threats, such as data security breaches, and new opportunities, such as data analytics. In addition, the University will need to revisit staffing.

Recently, UND entered into a Memorandum of Understanding with NDUS’s System Information Technology Services (SITS) unit through which the University reallocated 70 positions to SITS and SITS, in return, supports UND’s technology services. As the arrangement proceeds, this agreement will need to be revisited periodically to avoid obstacles that may arise over time such as conflicting workload priorities.
5.A.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.

Faculty salaries, academic programs, and student services continue to be top priorities in budgeting. As noted in 5.A.1, the University has maintained the academic portion of its expenditures at more than two-thirds of total expenditures. Included as academic expenditures are costs of instruction, academic support, student services, research, and public service (Figure 5.A.1). For the last decade the University has established strategic priorities and outlined them in an institutional plan (i.e., Pathways to the Future in 2001, Building on Excellence in 2005, and Exceptional UND in 2011). These priorities have shaped the University's direction and guided resource allocation decisions.

UND does not report to a superordinate entity to which it disburses funds. However, one area of institutional change that has raised funding concerns among some constituencies is the University's transition from NCAA Division II to Division I Athletics. This transition has required additional resources. The 2012 annual budget submitted to the State Board of Higher Education for Athletics showed expenses exceeding revenue by $1.5 million. In preparation for the Division I transition, the University engaged consultants Carr Sports Associates, Inc. during the 2006-2007 academic year to assist in planning and implementation. Their income projections were
5.A.3
The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution’s organization, resources, and opportunities.

UND’s mission statement emphasizes its role in serving “the state, the country, and the world community through teaching, research, creative activities, and service.” The University accomplishes this by recognizing its core competencies and contributions to society within the context of its distinctive traditions, cultural identity, and capacity to shape minds, discover and distribute new ideas, and give back to its community. UND fosters an academic community that offers intellectual vitality, care, and opportunity by demonstrating its commitment to excellence in teaching and research, scholarship, or creative activities pursuant to its mission.

5.A.3.a - Commitment to Teaching
UND faculty report that they dedicate time and effort to their teaching endeavors, and the evidence supports commitment to student learning. For instance, in 2011, a survey of undergraduate faculty indicated that 89 percent of the faculty respondents identify teaching as their primary responsibility. Respondents at other public universities reported approximately 66 percent of the faculty indicating teaching as the primary responsibility. Respondents at other public universities reported approximately 66 percent of the faculty indicating teaching as the primary responsibility. The same survey reported that UND faculty teach more hours than faculty at other public universities, and also dedicate more time to course preparation and reviewing students’ work.

When comparing the self-reporting on faculty time spent on these instructional activities at UND in 2002 and 2011, the findings show increases in faculty time spent on these teaching duties.
Faculty also acknowledge that the institution rewards the investment of time and energy that supports student learning. For example, while the University has raised its admissions standards in 2005, undergraduate faculty reported in 2011 that the statement, “Faculty are rewarded for their efforts to work with underprepared students,” is “very descriptive” of UND’s priorities (What Faculty, Page 41). Data addressing faculty time, effort, and the rewards system all reflect a faculty ethos of teaching as a priority.

5.A.3.b - Commitment to Research

The University continues to place emphasis on its research mission in terms of valuing research, scholarship, and creative activities. Based on UCLA’s Higher Education Research Institute (HERI) Faculty Survey, the perceived importance of research has changed for UND faculty, a probable reflection of the incremental shifts in institutional priorities initiated just over a decade ago during the presidency of Charles Kupchella. In 2008, 74 percent of full-time undergraduate faculty described research as “very important” or “essential” (HERI Survey, Page 3). In 2011, the percentage of faculty viewing research “very important” or “essential” increased to 81.6 percent. The perception of importance was confirmed by the time dedicated to this activity. In 2011, UND faculty respondents reported increasing amounts of time spent on research and scholarly work when compared to survey results from 2002 and 2008 (HERI Survey, Page 6).

As UND has increased the importance of research over the past decade, a corresponding increase has been seen in the percentage of faculty reporting they have published scholarly work. The numbers of faculty reporting scholarly activity mirror those of survey respondents at public universities. While UND respondents tend to report somewhat fewer documents published than their national peers, that difference is not statistically significant.

UND has maintained a relatively stable level of sponsored research activities. For instance, while the number of external proposals submitted declined between fiscal years 2006 and 2011 following a period of rapid and significant growth in the first part of the decade, the percentage of successful proposals has not changed dramatically (Table 5.A.3-1). This achievement is significant because it signals that UND faculty efforts to seek external funding are more focused and the University is doing well despite declines in federal dollars for academic research during that time period (section 5.A.1.a). As described earlier, sponsored research activity continues to increase,

Table 5.A.3-1
Number of External Proposals Submitted and Awarded by Fiscal Year

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposals</td>
<td>975</td>
<td>967</td>
<td>931</td>
<td>849</td>
<td>911</td>
<td>779</td>
<td>816</td>
</tr>
<tr>
<td>Awarded</td>
<td>676</td>
<td>729</td>
<td>674</td>
<td>635</td>
<td>569</td>
<td>578</td>
<td>571</td>
</tr>
<tr>
<td>% Success</td>
<td>69%</td>
<td>75%</td>
<td>72%</td>
<td>75%</td>
<td>62%</td>
<td>74%</td>
<td>70%</td>
</tr>
</tbody>
</table>
In 2006, the University was accorded a spot on the first-ever U.S. President’s Higher Education Community Service Honor Roll for its consistent excellence in community engagement.

Moving from $78.4 million in FY 2004 to $112.1 million in FY 2012. Applied research outputs as measured by intellectual property disclosures leading to patent applications and approved registrations demonstrate the University’s continued efforts to carry out its mission of serving society through useful inventions and discoveries (Table 5.A.3-2).

Further, the University is exploring better ways to integrate teaching and research. These efforts have taken place in terms of supporting technological infrastructure and programmatic efforts (e.g., undergraduate research initiative). In addition, the University is examining more innovative approaches such as establishing a Commons for Learning & Inquiry as the central hub for intellectual development and advancement (Criterion Three).

Table 5.A.3-2
Invention Disclosures and Intellectual Property Applications by Fiscal Year (Does not include EERC)

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>IP Disclosures</th>
<th>Filed U.S. Application</th>
<th>Issued Patents Reg Trademarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>2003</td>
<td>4</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>2004</td>
<td>1</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>2005</td>
<td>15</td>
<td>7</td>
<td>0</td>
</tr>
<tr>
<td>2006</td>
<td>17</td>
<td>17</td>
<td>0</td>
</tr>
<tr>
<td>2007</td>
<td>15</td>
<td>8</td>
<td>4</td>
</tr>
<tr>
<td>2008</td>
<td>12</td>
<td>8</td>
<td>3</td>
</tr>
<tr>
<td>2009</td>
<td>9</td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td>2010</td>
<td>8</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>2011</td>
<td>23</td>
<td>10</td>
<td>4</td>
</tr>
</tbody>
</table>

Source: Div. of Research Annual Report of Sponsored Activity (B0402)

UND’s service achievements have not gone unnoticed. In 2006, the University was accorded a spot on the first-ever U.S. President’s Higher Education Community Service Honor Roll for its consistent excellence in community engagement. A month later, the Carnegie Foundation for the Advancement of Teaching selected UND for inclusion in its new community engagement classification. The University was one of only 76 schools selected nationwide, and one of only nine to be identified within the Outreach and Partnerships category. In 2011, the Carnegie Foundation for the Advancement of Teaching reclassified UND into the honorary community engagement classification. Today, the University is among 311 (115 newly awarded) U.S. institutions with this distinction.

5.A.3.c - Commitment to Service
The University community participates in and positively impacts communities at the local, regional, national, and international levels. Over the past decade, UND has highlighted many of these efforts, demonstrating several common practices through which the University serves its community. The University regularly engages in activities such as information dissemination, training, cultural programming, community assistance, and studies to discover solutions to practical problems. These service activities also demonstrate an institutional commitment to supporting underserved populations, particularly American Indians, military veterans, and rural communities; developing new methods of addressing social and environmental problems; engaging children from toddlers to high school students in learning; and inspiring the public to enact positive change within their communities.
5.A.4
The institution’s staff in all areas are appropriately qualified and trained.

The University has continued to attract, retain, and develop its staff to participate in the educational mission and operations of the institution. It has a record of investing in its people to build on its successes. Staffing for the University is overseen by the UND Office of Human Resources & Payroll Services (HR). As part of that oversight, HR conducts a job analysis for each new and revised position. Within these reviews, HR analyzes positions for correct title, job code, and salary range based on the listed duties. HR also conducts an informal job analysis prior to recruiting for a posted position. These processes have enabled the University to maintain a staff of individuals who are well qualified for their roles.

5.A.4.a - Building a Team of Faculty and Staff

The University dedicates time and thought to ensuring that it builds a team of well-qualified faculty and staff. It does so by maintaining and following well-articulated recruitment and selection processes.

The University follows a clearly delineated set of steps to recruit and select qualified individuals who meet institutional needs (Figure 5.A.4-1). To begin the search process, a justification for the position is submitted for multiple approvals within a division (e.g., department head, dean, and vice president). This form or memo presents basic information about the requested position and includes a rationale outlining alignment with the University mission and departmental/division needs. If approved, the hiring unit submits a request to recruit (teaching, research or academic professional and vice president). That document details the reporting lines, source of funds, position description (i.e., basic responsibilities), and required and preferred qualifications. The position description identifies the required duties the person hired for the position will perform, and those duties often align with descriptions used for similar positions at the institution. The document also identifies specific tasks that must be completed to carry out the key responsibilities, any physical and/or mental demands, any essential environmental demands, and any highly specialized skills or expertise required, including requirements such as licensure, certification, accreditation, or another credential. The recruitment request/position requisition documents are reviewed and approved by division leadership. In addition, the University Affirmative Action office inspects the documents to ensure fairness, compliance with UND policy, and compliance with state or federal laws.
The selection process is competitive. According to University policy, positions that carry faculty rank such as Instructor, Assistant, Associate, and Professor, as well as all academic support staff, and all other support staff require a competitive recruiting process. It is the University’s policy to garner a hiring pool that is as large and competitive as possible in order to diversify its employee population.

The selection process is equally thorough. Hiring managers (and when applicable, hiring committee members) engage in applicant screenings by reviewing paper applications and conducting interviews, past employment verifications, and reference checks. Hiring managers and committee members evaluate candidates based on the essential functions of the position and other preferred qualifications. When recruiting for positions that draw primarily from a local labor market, the hiring process is conducted by the hiring manager with involvement of staff. Academic faculty, professional staff, and administrative searches typically involve the appointment of search committees to advise the hiring manager. Committees screen applicants, engage applicants in meeting other members of the University community, and evaluate the strengths and weaknesses of finalists. When applicable, applicants are vetted through media checks, employment evaluations or assessments, and background checks. Prior to issuing a Letter of Intent or an employment offer, the hiring manager submits a request to appoint. At that time, UND reviews the hiring process to ensure fairness of the process and appropriateness of qualifications.

The HR office supports hiring managers throughout this process. It offers assistance to departments as they determine qualifications that will be required or preferred, identify sites to advertise, plan interview questions, establish search committee processes, and conduct reference background checks. HR also assists in setting salaries. The NDUS has an electronic listing of all broadband job families that HR uses to categorize positions. The HR office plans to become more automated, offering services such as an electronic database of all UND positions, in order to provide hiring managers with easy access to information. The electronic database will provide data for a more systematic model of institutional assessment and improvement.

Qualifications of University employees may take a variety of forms, depending on the position. Faculty and staff often meet position requirements through special expertise accrued and demonstrated. For instance, the University Counseling Center hires staff with doctoral degrees in psychology as well as Licensed Associate Professional Counselors, who hold graduate degrees and work in a supervised setting. Positions in the Counseling Center with counseling service responsibilities require advanced degrees in counseling psychology or directly related fields. The UND Counseling Center is accredited by the International Association of Counseling Services, Inc., which ensures high professional standards in order to maintain quality service and to ensure competent and reliable support.

For faculty, one indicator of qualification in many disciplines is a terminal degree. UND has
maintained very high percentages of faculty with terminal degrees. Between 2001 and 2010, the average annual percentage of faculty with terminal degrees was 86 percent (assistant professors), 94 percent (associate professors), and 94 percent (full professors). More recent (2010) levels are higher than the 10-year average for all three ranks (section 3.A.1.e).

Generally speaking, faculty are required to have obtained at least one degree level above the degree of instruction except when the instruction is for the terminal degree or the faculty has some special expertise such as professional/clinical practice experience. Further, graduate faculty status is not automatic upon hire, even in departments offering graduate programs. Faculty seeking membership on the graduate faculty must be reviewed for proper qualifications, such as a terminal degree in the field or demonstration of the equivalent scholarly or creative accomplishment. A graduate faculty committee reviews these applications at the beginning of the fall and spring semesters.

As a whole, disciplinary accreditation reports comment positively on UND faculty qualifications. For instance, the Council on Social Work Education complimented the faculty qualifications, noting their experience in practice and consulting in addition to their academic and scholarly achievements. Similarly, disciplinary accreditations in chemistry, clinical psychology, computing technology, counseling, dietetics, engineering (particularly civil engineering and geology and geological engineering), law, music, nursing, teacher education, and theatre arts remarked favorably about the quality of faculty in the respective programs.

In addition to academic degrees and other credentials, UND faculty and staff demonstrate their qualifications with regional, national, and international distinctions. These honors have recognized faculty accomplishments in teaching, scholarship and creative activities, service to the academic community, and quality performance in other support areas. Honors also reflect the achievements of highly qualified professional staff. For instance, the North Dakota Department of Health recognized UND’s Student Health Services with the Providers’ Choice Award for extraordinary contributions towards increasing immunization rates in the state.

5.A.4.b - Investing in its People

The University emphasizes investing in its faculty and staff. These efforts, consistent with the Exceptional UND priority of enhancing the quality of life for faculty and staff, include narrowing the salary gap with peer institutions, paying close attention to faculty/staff retention, and improving faculty/staff performance through career and personal development opportunities.

UND has made it a priority to narrow the pay gap with regional and national peers. As a result, there are five years between 2002 and 2012 when average faculty and staff salary increases exceeded the state general fund appropriation funding for salary increases. This was accomplished by internal reallocation. Further, in 2008, the NDUS examined compensation gaps within the system and among peer institutions. This study led to successful efforts at the system level to advocate for salary increases. Between 2008 and 2011, UND faculty and staff received 5 percent increases, and during the 2012 and 2013 fiscal years, faculty and staff received 3 percent increases (Table 5.A.4-1).
Table 5.A.4-1
Comparison of Staff/Faculty Salary Increases to State General Fund Appropriation Increases FY 2002 through FY 2012

<table>
<thead>
<tr>
<th>Year</th>
<th>State General Fund Appropriation</th>
<th>12 Month Staff Average Salary Increase</th>
<th>9 Month Faculty Average Salary Increase</th>
<th>Staff Increase in Excess of Appropriation</th>
<th>Faculty Increase in Excess of Appropriation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
<td>3.00%</td>
<td>4.80%</td>
<td>7.10%</td>
<td>1.80%</td>
<td>4.10%</td>
</tr>
<tr>
<td>2003</td>
<td>2.00%</td>
<td>4.90%</td>
<td>6.10%</td>
<td>2.90%</td>
<td>4.10%</td>
</tr>
<tr>
<td>2004</td>
<td>0.00%</td>
<td>4.50%</td>
<td>5.40%</td>
<td>4.50%</td>
<td>5.40%</td>
</tr>
<tr>
<td>2005</td>
<td>0.00%</td>
<td>4.50%</td>
<td>5.60%</td>
<td>4.50%</td>
<td>5.60%</td>
</tr>
<tr>
<td>2006</td>
<td>0.00%</td>
<td>4.00%</td>
<td>5.00%</td>
<td>4.00%</td>
<td>5.00%</td>
</tr>
<tr>
<td>2007</td>
<td>3.00%</td>
<td>3.00%</td>
<td>3.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2008</td>
<td>5.00%</td>
<td>5.00%</td>
<td>5.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2009</td>
<td>5.00%</td>
<td>5.00%</td>
<td>5.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2010</td>
<td>5.00%</td>
<td>5.00%</td>
<td>5.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2011</td>
<td>5.00%</td>
<td>5.00%</td>
<td>5.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2012</td>
<td>3.00%</td>
<td>3.00%</td>
<td>3.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>2013</td>
<td>3.00%</td>
<td>3.00%</td>
<td>3.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

Source: Annual Budget Narratives

This focus on closing salary gaps has resulted into noticeable gains. Between 2003 and 2012, the University significantly decreased the variance in faculty salaries at UND in comparison with American Association of University Professors (AAUP) faculty compensation surveys (Progress Report FY11, Page 32). Between 2003 and 2012, the University’s response led to salary gap reductions at the professor level from 42.67 percent to 26.56 percent, associate level from 19.01 percent to 4.31 percent, and assistant level from 13.46 percent to 10.49 percent.

UND has also taken steps to invest in staff salaries. The Office of Human Resources conducts reviews to determine salary standing in comparison to peers. All staff positions are matched to available College and University Professional Association for Human Resources (CUPA-HR) surveys for market value comparisons. Other job surveys used for salary comparisons are the ND
As highlighted in a Change Magazine article, the University’s support of a new faculty and administrator bus tour, often followed by participation in the Alice T. Clark Scholars Mentoring Program, “fosters faculty commitments to the institution and its constituents.” In August of 2013, the University will host its 23rd Annual New Faculty & Administrator Bus Tour. Sponsored by the President’s Office, the three-day tour of North Dakota offers new faculty and administrators, along with their partners, a glimpse of North Dakota’s geography, economy, culture, and heritage. In addition, the experience provides opportunities for new faculty and administrators to come together as a cohort group, to connect with alumni and friends of the University in their home communities, and to learn about the challenges and opportunities shaping the state.

Building on that experience, the University provides a comprehensive, year-long orientation and collegial support program for faculty new to UND. Named in honor of retired Vice President for Academic Affairs Alice T. Clark and entering its 21st year in the fall of 2013, the program is administered through the Office of Instructional Development and funded by the UND Alumni Job Service survey, Higher Education Information Technology survey, and other NDUS approved regional surveys. CUPA surveys provide the institution with peer and regional benchmark data that is used to compare staff salaries. Based on the data, salaries for University staff compare favorably related to CUPA-reported salaries.

Retention is a second aspect of the University’s investment in its people. UND has made significant strides in keeping the faculty and staff who are part of the institution’s community. Between fiscal years 2006 and 2012, the number of employee resignations has ranged between 3 percent and 8 percent of total benefited staff. Within the last four years, resignations have been between 3 percent and 5 percent of the total benefited staff (Table 5.A.4-2). The range of terminations for full-time tenured and tenure-track faculty has also remained both narrow and stable since 2006. Approximately 92 percent of faculty in this category (excluding the School of Medicine & Health Sciences, which is not part of survey documents like IPEDS) continue employment at UND (Figure 5.A.4-4).

Faculty retention efforts can be explained in large part by two significant socialization programs. As highlighted in a Change Magazine article, the University’s support of a new faculty and administrator bus tour, often followed by participation in the Alice T. Clark Scholars Mentoring Program, “fosters faculty commitments to the institution and its constituents.” In August of 2013, the University will host its 23rd Annual New Faculty & Administrator Bus Tour. Sponsored by the President’s Office, the three-day tour of North Dakota offers new faculty and administrators, along with their partners, a glimpse of North Dakota’s geography, economy, culture, and heritage. In addition, the experience provides opportunities for new faculty and administrators to come together as a cohort group, to connect with alumni and friends of the University in their home communities, and to learn about the challenges and opportunities shaping the state.

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Retention is a second aspect of the University’s investment in its people. UND has made significant strides in keeping the faculty and staff who are part of the institution’s community. Between fiscal years 2006 and 2012, the number of employee resignations has ranged between 3 percent and 8 percent of total benefited staff. Within the last four years, resignations have been between 3 percent and 5 percent of the total benefited staff (Table 5.A.4-2). The range of terminations for full-time tenured and tenure-track faculty has also remained both narrow and stable since 2006. Approximately 92 percent of faculty in this category (excluding the School of Medicine & Health Sciences, which is not part of survey documents like IPEDS) continue employment at UND (Figure 5.A.4-4).

Faculty retention efforts can be explained in large part by two significant socialization programs. As highlighted in a Change Magazine article, the University’s support of a new faculty and administrator bus tour, often followed by participation in the Alice T. Clark Scholars Mentoring Program, “fosters faculty commitments to the institution and its constituents.” In August of 2013, the University will host its 23rd Annual New Faculty & Administrator Bus Tour. Sponsored by the President’s Office, the three-day tour of North Dakota offers new faculty and administrators, along with their partners, a glimpse of North Dakota’s geography, economy, culture, and heritage. In addition, the experience provides opportunities for new faculty and administrators to come together as a cohort group, to connect with alumni and friends of the University in their home communities, and to learn about the challenges and opportunities shaping the state.
Three key professional development programs are described in detail elsewhere, and will be mentioned only briefly here. The Office of Instructional Development (OID) is widely known on campus for offering a variety of activities, programs, and resources to promote campuswide conversations about teaching, foster innovation in curriculum and instruction, recognize excellence, and encourage the development of faculty as teachers. More detail on OID is available in section 3.C.4. The Center for Instructional & Learning Technologies (sections 3.C.4 and 3.D.4.a) offers training and development related to instructional and learning technologies. The University Within the University (U2) program coordinates, plans, and delivers professional development and training for all UND faculty, staff, and graduate student employees. More information is found in section 3.C.4. However, UND offers a number of professional development opportunities in addition to those available through OID, CILT, and U2.

Established in 2006, Work Well’s mission is to promote a culture of wellness among UND staff and faculty by providing information, services, and programs to support healthy living. The vision of the Work Well program is to inspire, support, and empower UND employees to achieve well-rounded, seven-dimensional wellness. In 2012, UND set an all-time record for staff and faculty involvement in worksite wellness programs, enabling the University to apply for the American Heart Association platinum-level Fit-Friendly Company award for 2012. The Work Well program reported that 50 percent of UND’s workforce took part in at least one Work Well or related wellness activity, such as the Health Club Credit or Healthy Blues programs. UND has received
UND, the University has engaged more intentionally in efforts to enhance the quality of life for faculty and staff based on feedback generated from individuals, offices, and division leadership. These programs consider the evolving nature of higher education, best practices within the profession, and data from program reviews and other assessments.

One new program, initiated in 2012, is the Chair’s Leadership Cohort. The Office of the Provost & Vice President for Academic Affairs provides this professional development program for academic department chairs. Incoming chairs sometimes expressed concern about their preparation for the position, and chairs were among the least satisfied employees at the University in a 2010 survey (Table 5.A.4-3). Given these concerns, the Provost’s Office determined that department chairs should be provided with better preparation for the role and more access to needed information, such as advice about whom to contact with questions or for advance notice regarding possible institutional changes that might impact faculty work. Drawing on four platinum-level awards and six overall national awards from the American Heart Association. In 2007, UND was the first organization in North Dakota to receive a national Fit-Friendly Company award.

A tuition waiver program is available to all benefitted employees of UND and of affiliated organizations of UND such as the various University-based foundations and staff in the System Information Technology Services. Tuition waivers provide employees with up to three free classes per calendar year, excluding courses in professional programs and extended learning courses.

Since President Kelley announced the strategic priorities of Exceptional

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<th>Table 5.A-3</th>
<th>2002</th>
<th>2004</th>
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<tr>
<td>Supp. Class Staff</td>
<td>72%</td>
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<td>Admin. Prof Staff</td>
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<td>Faculty</td>
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<td>Dept. Chair</td>
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best practices suggested through the University Leadership Council’s Education Advisory Board, chairs’ feedback, and the literature on department chairs, the Provost’s Office developed a series of workshops to provide support for the chairs. Sessions include webinars, panels, and active opportunities for peer-to-peer discussion.

Professional development for Student Affairs staff and graduate students is also offered, as of 2011, through the Division of Student Affairs. A committee was formed to create on-campus professional development activities for all staff in order to enhance knowledge and collaborations, and promote service and social connection across the Division. The committee recommends and implements professional development activities for all staff in the Division. This includes orientation, training, and ongoing development as well as social and service opportunities.

These efforts occurred following a needs assessment conducted by the Division in the fall of 2011 that provided data to support and guide future initiatives. Multiple professional development activities have occurred in response to findings from the needs assessment. While still in the very early stages of implementation, the professional development opportunities have already served approximately 75-120 staff members within the short time of their existence. An evaluation of progress is intended to occur to inform additional planning.

The Office of Human Resources began efforts to develop an institutionwide leadership training program in 2012, and implemented the program in spring of 2013. The program targets faculty and staff seeking to enhance their leadership skills in preparation for future career opportunities. The training is provided through blocks of courses intended to provide the tools necessary to become successful managers and leaders. The principal rationale for the program is to prepare future campus leaders who will continue to move the University from “Great to Exceptional.” The Office of Human Resources is conducting an annual evaluation of participants’ career progression to be used as the basis for recommendations regarding advanced leadership development opportunities.

5.A.4.c - Recognition and Rewards

The University recognizes and rewards commitment to the institution especially as judged by outstanding performance on the job.

Each year, the Office of Human Resources holds a Staff Recognition Luncheon at the end of the spring term. UND staff members are recognized for the major milestones of five, 10, 15, 20, 25, 30, 35, 40, and 45 years of service. Staff members recognized for 20 through 45 years of service are presented with U-Cash on their ID Card (U-Card) debit account in the amounts of $50 for 20 years, $100 for 25, 30, and 35 years, and $200 for 40 and 45 years. Staff members are able to use their award funds at the UND Bookstore, Ticketmaster (at the Chester Fritz Auditorium), Memorial Union Services and Lifetime Sports (to purchase, e.g., movie tickets, equipment rental, personal copies), Ray Richards Golf Course Season Pass, Student Health Pharmacy, and all Dining Services outlets.

In addition, the University recognizes excellence, on a competitive basis, with Meritorious Service Awards. The recipients of these awards are selected for their commitment to the University and community through a combination of job...
At the annual Founders’ Day ceremony, which commemorates the University’s founding and subsequent development since 1883, the University holds special employee and faculty recognitions and awards. Through gifts from alumni and friends, the University awards approximately $20,000 annually, drawing from funds provided by the UND Foundation and UND local funds. The awards typically presented at Founders’ Day include the Teaching, Research, and Service Award (Faculty Scholar), Undergraduate Teaching Awards, Graduate or Professional Teaching Award, Individual Award for Faculty Development or Service, Department Teaching Award, Academic Advising Award, Research Award, Department Service Award, Department Research Award, and Interdisciplinary Collaboration in Research or Creative Work Award. Since 2010, the UND Foundation also has provided an additional $100,000 for the North Dakota Spirit Faculty Achievement Awards. Initiated as part of the University’s capital campaign, the Spirit Award recognizes significant contributions by full-time faculty across all colleges and schools in teaching, research, and service. Founders’ Day also recognizes University employees with 25 years of service and retirees. Divisions and colleges or schools recognize performance distinctions as well. For instance, the Division of Finance & Operations annually selects a recipient of the Finance & Operations Employee of the Year Award. The Vice President for Finance & Operations recognizes employees within the Division who represent the Division and the University in an exemplary manner through positive attitude, courteous and responsive demeanor, and outstanding performance. Individual academic units also recognize outstanding performance, relationship with associates, and the ability to relate their work to the missions and values of the University. A total of 10 $1,000 Meritorious Service awards are given to employees from five major groups. These groups and the number of awards presented are: Executive, Administrative, and Professional (three); Technical/Paraprofessional (one); Office Support (three); Crafts/Trades (one); and Services employees (two). Further, the Ken and Toby Baker UND Proud Award, along with a gift of $1,000, is presented to a UND staff employee who, through extraordinary public service, has made lasting contributions to the external community over and above the expectations of his or her regular University position.
performance in teaching, research, service, and staff support. For instance, the School of Medicine & Health Sciences holds an annual research award reception and also recognizes employee excellence in the areas of inventions, preventive medicine and wellness, faculty enhancement, and staff recognition. In the College of Engineering & Mines, students vote to select winners of several outstanding teaching awards, which are presented at the annual E-Week Banquet.

5.A.5
The institution has a well-developed process in place for budgeting and for monitoring expense.

5.A.5.a - The State’s Biennial Budget Request Process
As a state agency, the University follows the budget policies and procedures outlined by the state through the Fiscal Management Division of the Office of Management and Budget (OMB) and the State Board of Higher Education (SBHE). At the beginning of each even-numbered year (e.g., 2012), the OMB’s Fiscal Management Division releases instructions and guidelines for state agencies to follow in preparing budget requests for the upcoming biennium (e.g., July 1, 2013- June 30, 2015). Agencies, including the SBHE, receive budget instructions in March. The Board reviews the biennial budget instructions/guidelines from OMB, adds any additional NDUS instructions and guidelines, and finalizes instructions/guidelines for institutions of higher education (2013-2015 SBHE Budget Instructions).

5.A.4.d - Moving Forward
While the truism that higher education must “do more with less” does frequently reflect operations at UND, especially in terms of faculty workload, the University has made significant progress in creating an improved work environment for faculty and staff. Yet, several disciplinary accreditation teams (i.e., aviation, dietetics, social work, teacher education, and theatre arts) have noted the heavy workload and competing demands. For instance, the National Association of Schools of Theatre pointed out that expectations regarding advising, service, committees, and number of plays produced annually constitute a heavy faculty load. The Council for Social Work Education observed that high teaching loads take away from faculty research time.

Aware of competing demands and a need to improve working conditions for both faculty and staff, the University included enhancing the quality of life for faculty and staff as one of the Exceptional UND strategic priorities. UND intends to further advance this interest by providing opportunities for mid-career development, promoting a healthy work-life balance, and maintaining an environment of openness and appreciation. The University will also need to continue efforts to address faculty salaries. As noted earlier, the University has made great strides in narrowing the gap with institutions elsewhere, especially during a time of national recession from which North Dakota was largely protected due to the state’s plentiful resources. Nonetheless, the University still lags its peers on faculty salaries, creating a potential drain on recruitment and retention of the caliber of faculty it expects to maintain.

As a state agency, the University follows the budget policies and procedures outlined by the state through the Fiscal Management Division of the Office of Management and Budget (OMB) and the State Board of Higher Education (SBHE).

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The NDUS office prepares schedules and guidelines for each campus. Following the schedules, UND prepares a biennial budget request on the Internet Budget Analysis and Reporting System (IBARS). This typically occurs between
April and June of even-numbered years. Also in April, preliminary information on buildings and infrastructure is due from agencies. This information is entered into the building and infrastructure formulas, then recalculated and returned to agencies to use in budget preparation. Biennial budgets can be due to the Board Office anytime between April and July. All requests need to be reviewed by the NDUS office before submission to OMB.

During campus development of biennial budget requests, OMB budget analysts visit their assigned agencies and/or campuses. These visits provide opportunities for the analysts to learn about the agencies’ programs, functions, and budgetary needs. They also provide an opportunity for agencies to ask questions and get clarification regarding the budget request presentation.

After UND completes its budget, the proposal is reviewed by the NDUS and SBHE prior to submission for OMB review. In late summer (July to October) of the year preceding a legislative session (which starts in January of an odd-numbered year), OMB holds budget meetings with agencies regarding their budget requests. After that meeting, the budget analyst, under the guidance of the director of OMB, the governor, and policy advisors for the executive branch, completes budget recommendations for each agency. In early November, the executive revenue forecast is completed and recommendations are finalized. Documentation and budget publications are prepared and printed.

During the first week of December, the governor presents budget recommendation to the legislature. Following the governor’s release of budget recommendation, OMB staff present budget details for each agency and review the budget process, budget publications, and use of the budget computer system with legislators.

In January of each odd-numbered year (e.g., 2013), the state legislature convenes for a maximum of 80 days. During this time, hearings on all appropriation requests are held by the legislative appropriation committees. Prior to adjourning, the legislature passes appropriation measures for the state, including appropriations designated for each NDUS institution. Following the legislative session, OMB staff prepare and distribute a publication summarizing the state budget for the upcoming biennium. NDUS institutions then prepare annual budgets for each year of the biennium, and those are submitted to the Board Office for review and approval.

5.A.5.b - Priorities, Planning, Budgeting, and Monitoring

The University budget represents a comprehensive financial plan for the institution. While it includes state appropriations, it also includes local funds, auxiliary funds, and grant and contract funds. Thus, the budget process requires consideration of multiple sources of funding, legal guidelines such as state and federal legislation, SBHE policy and guidelines, and institutional policies and procedures.

Preparation of individual budget documents varies slightly, but generally occurs through the following steps:

1. Planning - Early in the budget cycle, discussions regarding the budget process and priorities occur through the Academic Cabinet (deans), the President’s Executive
Criterion 5

Graduate Assistant positions were held to a 2.5 percent increase, which was consistent with the rate of tuition increase.

Faculty promotions were not considered part of the 3 percent average for faculty.

All permanent employees whose documented performance level met standards were eligible for salary increases.

Allocations to departments were their FY 2012 base, plus 3 percent of salaries and the associated fringe benefits, plus any one-time allocations.

2. Submitting Pending Budget Needs – Units prepare and submit annual budget requests in accordance with the annual budget guidelines. Additional budget requests are received from various units through the respective Vice President/President on an ongoing basis. These requests are tabulated by the Budget Office in a pending needs list, which is used to identify needs as resources become available at various times during the year.

3. Reviewing Budget Proposals - Budgets are reviewed by the Budget Manager and Budget Analyst to ensure accuracy and compliance with SBHE guidelines. A comparison of proposed budget to available funding is also performed.

A distinctive feature of the University's process is its Web-based budget application. The NDUS implemented PeopleSoft financials, human resources, and student Council (vice-presidents), and President’s Cabinet (senior leadership in addition to the vice presidents). In support of the budget decisions that must be made, the Budget Office updates budget schedules, revenue projections, and various fee/recharge rates, as well as determining tentative funds available. The President then approves the campus budget guidelines and appropriated and local fund/fee allocation funds are determined for each department by the Budget Office. For example, the 2012-2013 annual budget guidelines for salary increases included the following stipulations:

- The target institutional average of 3 percent was allocated for faculty and staff salary increases.
administration in 2005, and activated the grants administration module in December 2004. The implementation did not include a budget development module. However, UND developed its own Web-based budget application for development of the payroll and operating budgets. Implemented in FY 2006, the Web-based budget application has streamlined the budget preparation process for units and the application is enhanced each budget cycle.

Operating and personnel budgets are entered at the unit level. Detailed instructions are available on the Budget Office website and the budget application provides one year of historical operating information and personnel payroll detail by position. This active view permits units to have current views of financial data, expedites the approval process through a paper-reduced operation, and informs units of the review status.

After units have finalized their budgets through this Web-based application, the Budget Office reviews the budget for compliance with budget guidelines including ensuring that all funds within the unit are budgeted and budgets fall within available funding. The Budget Office presents a compiled, comprehensive budget document to the Vice President for Finance & Operations, who reviews it and submits to the SBHE. Following SBHE approval of the annual budget, the operating and personnel budgets are uploaded from the Web application into PeopleSoft.

Enhanced functionality has been added to the Web-based budget application during each budget cycle. Because of the success with Web-based budgeting at UND, the NDUS is considering developing its own Web-based budget application for all system institutions using UND’s application as a model.

4. Submitting for Agency Review - Upon completion of the review process, the final budget documents are assembled by the Budget Office and distributed to the appropriate board, agency, or individual.

5. Monitoring – The University also monitors its transactions. In order to meet current reporting requirements and provide a more accurate comparison of actual to planned activity, the University requires all funds in which revenue, expenditures, and/or transfers will be recorded to be budgeted in PeopleSoft. Revenue, expenditures, and transfers are controlled by the budget in PeopleSoft financials. UND uses system edits in PeopleSoft to facilitate budget checking before payments are made. This process provides an automated comparison to established budgets.

Further, a variety of inquiries, reports, and queries are available in PeopleSoft for use in reviewing actual fund activity as compared to budget and/or available cash. Examples include budget overview and budget status reports (both in commitment control) as well as general ledger summary reports, trial balances (from the general ledger), and actuals to budget reports. Units are responsible for the accuracy of transactions recorded against
The Budget Office works on predetermined cycles with recharge centers regarding rate development, budgeting, and monitoring. Actual financial data are used in this process together with activity detail captured at the unit level. In addition to the data available at the various reporting levels, UND submits required budget reporting to the State Board of Higher Education. Current policy requires submission by Jan. 31 for activity through Dec. 31 and by July 31 for activity through June 30.

In short, the University has a clear budget process that relies on pre-identifying institutional priorities, planning, attending to pending budget needs, reviewing budgets, preparing, and monitoring. The monitoring and control systems provide proper fiscal oversight with comparisons of actual revenue and expenditures to approved budgets occurring at various levels within the University and the state.
5.B.
THE INSTITUTION’S GOVERNANCE AND ADMINISTRATIVE STRUCTURES PROMOTE EFFECTIVE LEADERSHIP AND SUPPORT COLLABORATIVE PROCESSES THAT ENABLE THE INSTITUTION TO FULFILL ITS MISSION.

UND has a set of complex and participatory mechanisms, primarily through committee structures, that engage a broad range of community members in decision making related to University policies and procedures.

5.B.1
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.

The University has policies and procedures that establish opportunities for and conditions promoting engagement in institutional governance. This section highlights the structural conditions through which multiple constituencies participate in governance at the System and institutional levels. In addition, this section highlights policies and procedures that specifically include three key internal constituencies (i.e., faculty, staff, and students) in institutional governance.

5.B.1.a - Structural Arrangements Promoting System-Level Participation

In 1938, the citizens of North Dakota initiated a measure that is now incorporated into the state constitution calling for the establishment of the State Board of Higher Education (SBHE) to serve as the governing board for higher education in the state. In 1990, the SBHE created a unified system of higher education, known as the North Dakota University System (NDUS), that the state enacted into law. The Board selects a Chancellor to serve as the chief executive officer of the NDUS office, which interfaces with the state’s 11 public institutions of higher education.

UND complies with policies and procedures established by the NDUS and the SBHE. Through University leaders and designated representatives, the University maintains regular communication with the NDUS and the SBHE through meetings, reports, and committees delegated to update and consult with these governing entities. In addition, the policies and procedures of the NDUS and the SBHE emphasize communication between and among institution-level administrators, as well as between those administrators and other staff at their own institutions. These conversations are intended to ensure alignment among the mission, vision, and values held by the NDUS and those held by individual institutions.

Members of the UND community have an incentive to participate in the development of policies and procedures at the state level since those guidelines directly impact institution-level decisions. For instance, the NDUS recently has maintained seven councils (i.e., Academic Affairs Council, Administrative Affairs Council, Chief Information Officer’s Council, Human Resource Council, Diversity Council, Public Affairs Council, and Student Affairs Council) to define common challenges and opportunities, deliberate over issues, and recommend solutions. Faculty, staff, and student constituencies also have collective organizations representing their interests to the NDUS and the SBHE, including the Council of College Faculties (CCF), the NDUS Staff Senate,
and the North Dakota Student Association (NDSA) Assembly. UND has representation on each of these organizations.

5.B.1.b - Structural Arrangements Promoting University-Level Participation

Pursuant to the University's Constitution, the University Council is the most broadly representative legislative body on campus (Faculty Handbook, I-5). The Council consists of the following: UND's President; the vice presidents; associate vice presidents who concurrently hold faculty rank; the Registrar; the Director of Libraries; all deans; all department chairs; all full-time faculty of the rank of instructor; assistant professor; associate professor; and professor; program directors; coordinators; assistant and associate deans who concurrently hold faculty rank; the Director of the Counseling Center; professional librarians; and such other academic personnel and administrative officers as the Council may designate.

The Council has the legislative powers and responsibilities for the University except those assigned to the SBHE or to the President. Pursuant to the University Constitution, the Council meets at least once a semester. While meetings are typically called by the Chair of the Senate and the President of the University, a provision enables a call for a meeting through a written petition presented to the Registrar and signed by 30 Council members. Over the past decade, University Council meetings have been largely informational rather than deliberative. They have been used to brief the University community on institutional successes and challenges and to map future activities that will advance the institution's mission and priorities. "Matters arising" is consistently included on the agenda as a placeholder that provides a forum for community dialogue.

While the Council provides a University-wide gathering for information dissemination and dialogue, the University Senate has served since 1961 as the body to which formal legislative powers are delegated (Faculty Handbook, I-5, 5.1). The Senate is authorized to exercise all the legislative powers of the Council except for such limitations as the Council may wish at some later date to impose. The Senate, therefore, has broad jurisdiction over matters involving general University policy. It determines what questions are within its scope of responsibility, exercises legislative functions concerning them, and makes such rules and regulations as it may deem advisable to promote the educational purposes of the University. The Senate, acting for the Council and the faculty, has legislative power, for example, over admission requirements, degree requirements, curricula changes, examination and class schedules, and general regulations pertaining to student affairs.

The University Constitution and the Bylaws of the University Senate outline the Senate's roles and functions, reporting lines, organizational composition, and meetings. Members include those who serve ex officio (the President, vice presidents, Registrar, Director of Libraries, and deans), those who are elected to serve as representative of constituent groups (foremost by academic college or school), student members, and Staff Senate members. In addition to serving as a legislative body, the University Senate operates through 26 permanent committees. These committees are charged with providing guidance and oversight regarding academic operations, policies, and
The UND Faculty Handbook serves as the guiding document outlining the University’s policies, regulations, and procedures for full-time and part-time faculty.

Programs within their designated spheres of responsibility.

Committee membership is outlined in the University Senate Committee Manual, which typically requires that faculty, staff, and students be included as members. These committees seek a cross section of members, with bylaws often stipulating, for example, members from each of the schools or colleges of the University. Unless otherwise stated, the Committee on Committees oversees the nomination process that leads to a slate of faculty candidates. Staff appointments typically occur through ex officio status or a Staff Senate nomination and election process (Committee Manual, Page 10). The UND Student Government appoints student members to University Senate committees (Student Government Bylaws, Page 20).

In addition to the Senate committees, the University has more than 50 committees or councils that serve in an advisory capacity to the President and vice presidents. In most cases, committee or council membership consists of representatives with special knowledge who advise on specific matters, or, alternatively, representation from each of the schools and colleges of the University. Over the past decade, these committees and councils have often led change at the University, including the establishment of community-building activities, educational programming, resource allocation recommendations, and administrative process streamlining. The efficacy of a given committee in advancing its charge often depends on member engagement and the group’s ability to examine a situation in depth, consult various stakeholders, and achieve broad University support for actions.

5.B.1.c - Policies and Procedures for Specific Constituent Groups

In addition to the corporate documents, which define the University Council, the University Senate, and other entities, the UND Faculty Handbook serves as the guiding document outlining the University’s policies, regulations, and procedures for full-time and part-time faculty. It describes structures that facilitate faculty participation in shared and collaborative governance. These provisions include governance structures, participation methods, and faculty responsibilities (Faculty Handbook, I-6 and I-8). Further, organizational units within divisions such as academic colleges also maintain bylaws and other policies that outline unit and individual roles, responsibilities, and opportunities to participate in governance. These policies describe the structure of the specific organizational unit (e.g., the academic college or school), and identify structures and processes through which members of the unit may participate in decision-making or advisory capacities. College committees typically include Council of Chairs, Curriculum, Evaluation/Reappointment/Tenure/Promotion, and Student Appeals.

The University also maintains policies and practices that include staff voices. In March of 1998 (Faculty Handbook, I-6, 6.4), the University established the UND Staff Senate with the encouragement and approval of the President. This body represents various staff classifications, including administrative/managerial; crafts/trades; office support; professional, technical and paraprofessional; and other service employees. The Staff Senate has been an integral part of the University community through efforts in...
developing staff leadership capacity, celebrating employee achievements, engaging in searches for administrators, and participating in the crafting of policies and practices, including through committee service. University leaders have in many instances designated committees to be co-chaired by faculty and staff (Provost Search Committee and Retention Committee). This reflects a concerted effort to celebrate and recognize the contributions of faculty and staff as complementary experts and partners in facilitating productive institutional change.

Students are highly valued as participants in collaborative governance, and maintain multiple avenues to participate in the life and operations of the institution (section 3.E.1). Student Government serves as the formal body to engage students in governance. As stated in the Student Government Constitution, the UND Student Government is a representative system of self-government, to ensure students of an effective role in University Government, to encourage the development of leaders and participants for the community and State of North Dakota, to stimulate an awareness of the rights and responsibilities of students in relation to the community and the world, to improve student cultural, social and physical welfare, and to promote the general welfare of this institution… (Student Government Constitution, Page 1)

Student Government operates with seven executive board members and 23 senators representing the schools, colleges, and student residences.

Besides the Student Senate itself, the Student Government includes three primary committees: the University Program Council, Student Communications Funding Committee, and Student Organization Funding Agency. These standing committees support student publications, funding of student organization events, and student programming activities for educational and community-building purposes. Further, to foster greater student involvement, the Student Government established the Student Working Advisory Group (SWAG) in 2011. SWAG facilitates student input on institutional affairs. Throughout the year, SWAG hosts open forums for all students to provide feedback and ask questions on such areas as student affairs, external affairs, and academic affairs. Student input has addressed issues including diversity on campus, online courses, Student Government-funded programs, UND’s email system, community outreach, and state government support for UND.
Student governance also occurs within specialized settings, such as the Association of Residence Halls Government for students who live in University housing, the Interfraternity Council and Panhellenic Council for UND Greek Life, and the Student Bar Association for law students. These bodies represent specific constituencies and participate in University decision making related to their respective interest areas.

5.B.2 The governing board is knowledgeable about the institution; it provides oversight for the institution’s financial and academic policies and practices and meets its legal and fiduciary responsibilities.

The North Dakota University System (NDUS) and State Board of Higher Education (SBHE) are engaged with the policymaking and operations of the University. They do so through clear communication lines, data collection and approval processes, and active involvement with UND’s legal and financial position (section 2.C).

5.B.2.a - Clear Communication Lines

NDUS and SBHE policies and practices have established communication lines and participatory processes to ensure regular conferencing with institutions in the system. The SBHE regularly discusses campus issues. As its consent agenda categories demonstrate, the SBHE often reviews matters including academic programming, fiscal decisions, facilities, personnel, and information technology. In addition, the NDUS and SBHE manage using a periodic presence on each campus. The SBHE, for instance, rotates its meeting locations among the 11 NDUS campuses. NDUS staff and administrators visit campuses for special events and periodically hold meetings at campus sites.

Established communication lines also facilitate dialogue regarding proposed policies, campus updates, and questions about policies and processes. As noted in the previous section of this chapter (section 5.B.1), campus constituencies have opportunities to raise concerns through various NDUS-based councils and assemblies. For instance, faculty across the system organized to enable cross-institution conversations around general education and to encourage NDUS participation in Liberal Education and America’s Promise (LEAP), an initiative of the American Association of Colleges and Universities. As a result, the General Education Council now meets twice each year to collaborate on matters regarding general education across the 11 campuses. Another example is the Academic Affairs Council, composed of the chief academic officers from each institution, which reviews, comments on, and makes recommendations for new programs and program modifications within the system. The NDUS Public Affairs Council keeps the system office informed on institutional relations and is intended to ensure the delivery of consistent messages to key North Dakota stakeholders outside of the NDUS. The existence of these groups facilitates communication and serves to unify the system.

5.B.2.b - Data Collection and Approval Processes

The University is responsive to NDUS and SBHE oversight and to its responsibility to communicate information to those bodies. The NDUS maintains a comprehensive compliance program and annual audit process. A series of basic reporting requirements provides campus-level data to NDUS staff, the SBHE, and state legislators.
The SBHE and NDUS oversee 11 institutions. The SBHE sets the guidelines for budget preparation and approves the budget, and NDUS executes follow-up actions.

instance, pursuant to NDUS policy, UND submits semester reports of enrollments and semiannual as well as annual financial reporting. Further, NDUS compiles a combined financial report for the 11 institutions within the system. Conducted by the North Dakota State Auditor’s Office, the financial report allows the SBHE and NDUS to ensure the fiscal soundness of each institution and the system as a whole.

In addition, pursuant to state law, the North Dakota State Auditor’s Office performs additional financial-related audits for each campus every two years. The audit for UND results in a summary of audited financial statements and addresses three key questions:

1. What are the highest risk areas of the University’s operations and is internal control adequate in these areas?
2. What are the significant and high-risk areas of legislative intent applicable to the University, and are they in compliance with these laws?
3. Are there areas of the University’s operations where we can improve efficiency or effectiveness?

Stated another way, these audits monitor operations and control mechanisms to protect the institution’s resources, particularly in terms of financial and capital assets; verify compliance with federal, state, and local laws; and seek areas needing improvements to advance the University’s mission. UND’s responsiveness contributes to the effectiveness of NDUS and SBHE management, including oversight of operations, thus allowing the governing board and system office to carry out their legal and fiduciary responsibilities effectively.

The SBHE and NDUS oversee 11 institutions. The SBHE sets the guidelines for budget preparation and approves the budget, and NDUS executes follow-up actions. For most of the past decade, the SBHE and NDUS have acted in conjunction with the state to assess and evaluate campus activities using annual performance updates on predefined measures. These performance measures are based primarily on six cornerstone categories that were developed through the Roundtable on Higher Education. The Roundtable was established by the state legislature in 1999, and it is made up of state leaders from both public and private sectors. Their charge was to construct the guiding principles or cornerstones for higher education in North Dakota. Today, five of the cornerstones serve as drivers of performance measures, and the sixth cornerstone, Sustaining the Vision, functions as an overarching goal. While the performance measures have evolved over the past decade, the NDUS has used 34 measures during the last few years. Recently, the SBHE and NDUS have forwarded new guidelines to serve as the principles for institutions. These principles are based on the NDUS five-point vision: to become a premier system of higher education in the nation, to offer measurable quality education, to significantly contribute to distributed economic and social development of North Dakota, to become the best system for student success, and to improve quality and keep costs down.

Accordingly, NDUS has established its Pathways to Student Success Initiatives based on access, quality, affordability, learning, and accountability.
5.B.2.c - Active Involvement with UND’s Legal and Financial Position

UND and other institutions in the system are mandated to consult with the governing board on legal and financial concerns. UND must seek approval for and provide regular updates on major operational issues, such as academic matters, challenges from external entities, and resource problems. The SBHE is responsible for approving and periodically reviewing the appropriateness and consequences of all major institutional policies and academic programs. These approvals occur for activities including program terminations, program name changes, new degree offerings, and degree modifications. The SBHE also authorizes campus construction and capital improvements with funding approval from the state legislature. The NDUS serves as the authorizing state agency to grant faculty tenure, and UND seeks annual approval from NDUS for tenure recommendations made through institutional processes.

NDUS and SBHE review these and similar requests to ensure operational integrity, which can include defending the institution, when necessary, from inappropriate intrusion by entities external to higher education. The NDUS and SBHE relation to UND is evident in a number of different kinds of issues that have arisen in recent years (section 2.C.2).

The SBHE’s and NDUS’s involvement in recent controversy over the University’s now-retired Fighting Sioux nickname and logo for athletics most clearly illustrates their exercise of authority, when available, to protect the University from the undue influence of external actors. The history surrounding the Fighting Sioux nickname and logo and its relation to American Indian tribes and people in North Dakota was extensive and fraught. In 2005, the NCAA notified UND that the Fighting Sioux nickname and logo were “hostile and abusive” representations and would lead to nonparticipation in post-season play and a prohibition on UND hosting post-season games. In June 2006, the SBHE consulted with the State Attorney General to bring action against the NCAA for penalizing UND students. In the fall of 2007, the SBHE advised and assisted UND in a settlement agreement with the NCAA. The agreement gave UND time to obtain support from the “Sioux” tribes within the state approving the use of the nickname and logo or, failing that, to retire them. Unable to gain formal support from all of the tribes, the SBHE directed the University to begin the transition away from the nickname and logo. A lawsuit was filed to prohibit the SBHE from reaffirming its nickname retirement decisions, but, after the lawsuit was thrown out, the SBHE directed the NDUS Chancellor to direct President Robert Kelley to begin the transition away from the Sioux nickname and logo.

President Kelley announced the University’s intention to follow through with the SBHE’s request. He appointed then-Vice President of Student Affairs, Dr. Robert Boyd, as chair of the transition team. At the same time, UND made headway in its quest to find a Division I conference affiliation for most of its sports teams, an effort that culminated with the announcement that the school would join the Big Sky Conference in 2012. Then, in the spring of 2011, the North Dakota legislature passed a law mandating UND to continue use of the Fighting Sioux nickname and logo and removing authority over nickname and logo decisions from UND and from the SBHE.
In August of 2011, a delegation of North Dakota leaders, including the Governor, SBHE leaders, President Kelley, and the Majority Leader of the House of Representatives, met with NCAA leadership to explain that state law now compelled UND to use the Fighting Sioux nickname and logo, and to seek changes to the 2007 settlement with the NCAA related to imagery in the Ralph Engelstad Arena, the home venue for UND hockey. The NCAA indicated it would not change its position. The Governor subsequently added the nickname and logo issue to a short list of topics to be addressed at a November 2011 special session of the legislature. In an August 2011 meeting, subsequent to the visit to the NCAA, the SBHE directed President Kelley to resume planning for a transition away from the nickname and logo, to be completed at the end of 2011. The SBHE expressly did not presume a legislative outcome; however, they directed President Kelley and the University to be ready to transition away from the nickname and logo should legislation pass allowing the transition.

During the special session, legislators repealed the law, passed earlier that year, which compelled UND to use the nickname and logo. In the wake of that action, the SBHE reaffirmed its directive to President Kelley to transition the University away from the nickname and logo by December 31, 2011. The University complied.

In February 2012, citizens filed referendum petitions with the North Dakota Secretary of State’s Office that sought to place on the ballot a provision that, if approved, would require UND to continue use of the Fighting Sioux nickname and logo. Under state law, the filing of the petitions suspended the law passed by the legislature in the November special session—that is, suspended the repeal of the prior law compelling UND to use the nickname and logo—meaning that UND had to resume use of the Fighting Sioux nickname and logo in order to be in compliance with the state law previously passed in the spring of 2011.

In the months between the filing of the petitions and the referendum election, the UND Alumni Association & Foundation, using private financing, alerted the public about the consequences of referendum passage, including its effect of prohibiting UND athletic teams from hosting post-season competitions and the impact of other universities electing not to compete against UND in events such as invitationals and multi-institutional tournaments. Concerns also were expressed about the prospects for UND to remain a member of the Big Sky Conference. Responding to these concerns, voters soundly defeated the referendum in June 2012.

Throughout the years during which these events unfolded, the NDUS and SBHE actions in support of the University were clear and consistent. Although committed to abiding by state law and working with the legislature, the SBHE was unwavering in its oversight of and support for the institution.

Another demonstration of SBHE and NDUS engagement in UND concerns occurred in a recent funding model decision. In fiscal year 2006, the Interim Legislative Higher Education Committee engaged MGT of America to review the state’s higher education finance model and recommend alternatives. In spring of 2006, the SBHE adopted the primary recommendations from the MGT report. The report led to the state
The institution enables the involvement of its administration, faculty, staff, and students in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

UND provides multiple levels through which stakeholders participate in institutional governance. As noted earlier, participation occurs primarily through representational bodies such as University Senate, Staff Senate, and Student Senate (section 5.B.1), as well as institution-wide committees with representation by job function or organizational unit (e.g., college or division). By examining the purpose and makeup of seven integral University committees, the opportunities that UND provides can be demonstrated. These opportunities allow members of the University community to contribute and collaborate on matters including academic requirements, personnel decisions, and the creation of new University initiatives to enhance operations.

5.B.3.a - Academic Policies and Admissions Committee

The University Senate’s Academic Policies and Admissions Committee is charged with offering guidance and oversight in applying academic standards to admissions and other academic policies. The Committee consists of nine voting members: five faculty, two students, the Vice President for Academic Affairs or designee, and the Director of Admissions or designee.

The Committee may act at its own volition or at the request of another body. It conducts studies when necessary and makes recommendations to the University or the Student Senate.
matters typically relate to petitions requesting a change of grade, a registration approval, an application of course credits to the degree, and transferability of undergraduate work from another institution to UND. When a student seeks such an exception to University policy, the student completes an Administrative Procedures Petition Form indicating the requested action and the justification. Several individuals (e.g., the academic adviser, course instructor, department chair of the course, dean of the course, and the student’s academic dean) review and comment on the petition.

The Administrative Procedures Committee evaluates these petitions and provides academic guidance and oversight of exception requests pertaining to University-wide policies. The Committee consists of two deans, five faculty, one student, and the University Registrar or designee, thus engaging representatives of the various constituencies within the University community in its decision making. The Registrar or designee serves as the non-voting chairperson of this committee. All other members of the Committee participate as voting members.

5.B.3.c - The Student Academic Standards Committee

The University Senate’s Student Academic Standards Committee resolves undergraduate admission appeals and academic grievances that are not resolved at the level of the academic unit. Among its duties, the Committee advises other Senate committees regarding student academic policies, acts as an appeals board for undergraduate students in cases involving University dismissal for unsatisfactory scholarship when the student’s dean (or designee) has denied reinstatement, acts
on student academic grievances in accord with the Code of Student Life, considers exceptions to University admissions policies and appeals of admissions decisions in accordance with the policies established by the Senate Academic Policies and Admissions Committee, and reviews and approves the annual report of the Academic Policies and Admissions Committee to the Senate.

Student academic standards complaints are matters outside the administrative procedures pertaining to an academic matter and largely address substantive aspects of the academic program. These challenges normally begin within an academic department (School of Graduate Studies, School of Law, School of Medicine & Health Science, College of Education & Human Development). When unresolved, the student may file a complaint with the college. Each academic college has a review committee of its own. However, the Student Academic Standards Committee’s composition spans several academic colleges, consisting of the Vice President for Academic Affairs or designee, six faculty, and two students. These nine members have equal voting rights. The Registrar or designee serves as a tenth member and chair with no voting rights. The chair prepares all student files for review, acts as a resource person, and prepares the annual report for the University Senate.

5.B.3.d - The Curriculum Committee

Curricular changes represent one of the most critical actions that a University engages in when setting academic requirements. The University has a multistep review process in place to provide opportunities for comment on any proposed academic change. The review process takes place initially within a college or school (or multiple colleges, if the proposal is interdisciplinary and involves more than one college). The college review includes the department, college curriculum committee, and college dean. A college curriculum committee typically includes representatives from each department within the college or a representative from each of the divisions within a college (e.g., disciplinary groupings within the college). Some colleges also include student representatives. If a proposed change involves a graduate curricular matter, the Graduate Faculty Committee and School of Graduate Studies Dean also review and comment. The Graduate Committee consists of at least 15 members. The voting membership consists of at least 15 members. The voting membership includes one representative from each of 13 academic areas including aerospace sciences, basic medical sciences, business, education, engineering, fine arts, health sciences, human development, humanities, natural sciences, nursing, social sciences, and speech and language. In addition, non-voting ex officio members of the Graduate Committee include the Dean of the School of Graduate Studies, any associate dean(s), and an appointed graduate student member.

After approval at the college or school level, the University Curriculum Committee reviews and comments on the proposal. Review by the Provost & Vice President for Academic Affairs’ Academic Cabinet, composed primarily of the academic deans, follows. Following that review, the University Curriculum Committee makes its recommendations. The Committee consists of seven faculty, one student, the Vice President for Academic Affairs (ex officio), and the Vice Chair of the University Senate (ex officio). That recommendation goes to the University Senate for a formal vote. If the approval also requires
NDUS review, the Vice President for Academic Affairs participates in a formal review, and the proposal, if approved, moves forward to the NDUS Office. At the NDUS level, the Vice Chancellor for Academic Affairs and the NDUS Academic Affairs Council, which consists of the chief academic affairs officers of the 11 NDUS institutions, evaluate and comment; then the proposal may move forward to the State Board of Higher Education for a final decision.

5.B.3.e - Essential Studies Committee

Essential Studies (ES) is the University’s national award-winning program in general education (section 4.B.1). Serving as the academic core of a student's university experience, the ES program serves as the means of providing students with a broad, liberal arts education. Capstones are required within ES, and they function as integrative experiences in which students draw on many classes, both in the major and in the ES curriculum, to develop and reinforce ES learning outcomes.

Following the creation of the ES program, the University Senate established the Essential Studies Committee in 2008 to replace the old General Education Requirements Committee (Committee Manual, Page 18). The purpose of the Committee is to provide faculty guidance and oversight for the ES program by defining the principles and goals of ES, developing and implementing ES policies, and setting standards for courses that carry ES credit. This committee also offers guidance and advice to the Senate University Assessment Committee regarding the assessment of the ES program.

The Essential Studies Committee consists of 20 members. The 18 voting members include an academic dean or designee, 13 faculty (including the Committee chair, chair-elect, and past chair), three students, and the Provost & Vice President for Academic Affairs or designee. Two other committee members, the Registrar or designee and the Director of Essential Studies, serve as nonvoting members, concurrent with their positions.

5.B.3.f - Assessment Committee

The Senate University Assessment Committee assists with the University’s assurance of learning across the curriculum (Committee Manual, Page 48). The Committee is charged with providing guidance and oversight in developing and implementing the University Assessment Plan, analyzing and interpreting assessment results, developing appropriate reports, and disseminating assessment results to the Office of the Provost and Vice President for Academic Affairs, the University Senate, and the broader University community. This permanent committee consists of 15 members: two representatives from the Office of the Provost & Vice President for Academic Affairs (one voting and one nonvoting), the Vice President for Student Affairs or designee, a School of Graduate Studies representative, eight faculty (i.e., one from each college), and two students. As apparent from the list of committee member qualifications, these individuals represent a broad spectrum of interested parties who help shape the University’s assessment activities and evaluate the University’s progress.

The Committee assumes significant responsibilities. It addresses all issues regarding assessment of student achievement and development; develops, reviews, and evaluates the University Assessment Plan in conjunction with the Provost’s Office and particularly with the
Faculty, staff, and students work together to inform the community about events and other progress; develop, implement, and uphold policies; and evaluate petitions regarding standards and processes.

Director of Assessment and Regional Accreditation; oversees the implementation of the University Assessment Plan, evaluates assessment activities and the interpretation of assessment results; evaluates the overall effectiveness of the plan; makes recommendations regarding addressing any deficiencies that are revealed by assessment activities; reviews the University Accreditation Report when issued and advises the Senate regarding the report and its implications; and works closely with the Office of Institutional Research to keep the outlets about the assessment reports current (e.g., maintaining the assessment website).

5.B.3.g - Retention Committee

Created in the fall of 2011, the UND Retention Committee is charged with strengthening the collaboration between the Divisions of Student Affairs, Academic Affairs, and Finance & Operations to enhance undergraduate student success at the University. Current retention activities, including enhanced efforts to promote student engagement and new early warning and intervention strategies, are intended to provide direction and support to student and academic operations that are designed to increase student success both in and out of the classroom. Committee members were selected to represent a wide variety of departments and units across campus in an effort to bring together key individuals who work closely with retention initiatives. The Committee consists of 20 members: nine student affairs professionals representing a cross section from enrollment, student success, counseling, and housing; six academic affairs representatives including five faculty; three students; and two finance and operations staff with one each from finance and operations. The Committee is co-chaired by a faculty member and an Assistant Vice President of Student Affairs, who are included within the count of members.

5.B.3.h - Moving Forward

UND’s structures, policies, and processes provide for community participation and engagement in academic operations. As illustrated above, faculty, staff, and students work together to inform the community about events and other progress; develop, implement, and uphold policies; and evaluate petitions regarding standards and processes. The University establishes and evaluates academic requirements, policy, and processes in particular by using (a) a cross section of campus representatives including faculty, students, and staff; (b) an integrative approach that blends the Divisions of Academic and Student Affairs in a common mission of supporting the academic core; and (c) clear policies and processes that differentiate roles and responsibilities of committees within the various units.
5.C.
THE INSTITUTION ENGAGES IN SYSTEMATIC AND INTEGRATED PLANNING.

5.C.1
The institution allocates its resources in alignment with its mission and priorities.

UND has acted thoughtfully and intentionally to allocate resources to areas that advance its mission and priorities. However, the University’s approach to resource allocation has changed over the past decade.

5.C.1.a - The University Planning and Budget Committee Approach

Prior to 2009, the University Planning and Budget Committee was responsible for preparing a strategic plan and monitoring its implementation (Faculty Handbook, I-6, 6.1). The Committee also advised the President in development of the annual and biennial budgets. The Committee’s principal membership included 10 ex officio members (President, all vice presidents, Budget Director, Associate Registrar, Chief Information Officer), and at least one representative (faculty member, dean, or chair) from each of the colleges or schools, the Energy & Environmental Research Center (EERC), the Chester Fritz Library, the Council of Deans, and the academic chairs. Three student members were appointed by the Student Government President. In addition to the ex officio members, the committee included at least five staff members. When it met as a budget review committee, the group was augmented by the addition of the Chair and Vice Chair of the University Senate, the President and Vice President of Student Government, the Chair and Vice Chair of Staff Senate, and three full-time faculty designated each academic year by the Chair of the University Senate.

Under the University Planning and Budget Committee model, the University’s resources focused on several key areas aligned with NDUS priorities, including the institution’s efforts to build a stronger infrastructure for instruction and research. During these years, UND dedicated available resources toward increasing faculty and staff salaries and meeting noninflationary expenditure increases. Starting with the 2007-2008 academic year, the University began its five-year transition from NCAA Division II to Division I athletics. The transition included significant personnel changes within the Athletics Department, including, for example, moving from part-time to full-time coaches. Additional academic and scholarship support for student athletes was also needed. These changes required resources. Other priority areas over those years included improving library collections and allocating more faculty and staff lines in response to enrollment growth.

This pre-2009 period included a number of capital projects that depended on revenue from auxiliary operations. These projects included campus infrastructure, such as a new parking structure, a new apartment-style student housing complex on University Avenue, and upgrades of student learning and living facilities around the campus. Allocations to the research infrastructure also took place, although most of those funds were federal and state dollars.

5.C.1.b - The Executive Council Approach

With a new administrative team in place under President Robert Kelley, the budgeting
and resource allocation process changed in 2009. Since 2009, the President, in consultation with the Executive Council, which is composed of the vice presidents, establishes priorities and budget guidelines for resource allocation based on revenue projections from the University’s Budget Office. These plans are developed into annual and biennial budgets and a budget narrative.

The UND annual budget narratives for fiscal years 2008 through 2013 (2008, 2009, 2010, 2011, 2012) articulate resource allocations that have advanced the institution’s mission and priorities. During this time, budget narratives have consistently identified the following critical issues: faculty and staff salaries, demographics (i.e., the declining number of 18-year-olds in North Dakota), overall public funding level as compared to peers, research infrastructure and staffing, and maintaining accessibility.

The University has responded to these priorities in a variety of ways. To reduce the pay gap with national and regional peers, faculty and staff salaries have been the top funding priority every year. Between 2002 and 2012, there were five years in which faculty and staff salary increases exceeded the state general fund appropriation funding for salary increases as a result of internal reallocation (Table 5.A.4-1). Between 2003 and 2011, UND made significant progress in decreasing the variance in faculty salaries compared to the AAUP faculty compensation surveys. Salaries for University staff compare favorably to College and University Personnel Association for Human Resources (CUPA-HR) reported salaries. Further, the University has continued 100 percent funding of health insurance premiums, which have increased significantly since 2003. Beyond funding increases in salaries, health insurance premiums, and utility costs, there have been limited dollars to address other priorities.

From that limited funding, commitments were made, aligned with UND’s mission and using Exceptional UND priorities as a roadmap, to enhance academic programming. Some of these commitments were on a one-time basis and others were as additions to base budgets. For example, in the 2011 legislative session, $15.2 million was appropriated to the SBHE for equity and student affordability across the 11 institutions in the system (Legislative Appropriations, Page 45). The SBHE allocated $3.8 million to UND, of which $1.7 million went to the Division of Academic Affairs.

Then-Provost & Vice President for Academic Affairs Paul LeBel reported that he determined allocation of that funding based on two sets of requests from academic deans for initiatives, with the most current requests totaling $9.4 million. Decisions were based on (1) consistency of the requests with the mission and with the strategic priorities of Exceptional UND, (2) demonstrated return on previous investments in a program, and (3) desire to shift some ongoing expenses from local funding to appropriated funds. During fiscal years 2012 and 2013, one-time equity allocations were invested in a major in environmental studies, curriculum and program development, doctoral programs in nursing, performance enhancement initiatives, and the Chester Fritz Library. In fiscal year 2013, base funding was awarded to aerospace for developing a doctoral program, biology for a program in molecular integrated biology, music to supplement an endowed chair, chemistry for a faculty position, nursing to implement the doctorate in nursing, petroleum engineering to
support its increasing role due to the state’s oil boom, and social work for tribal college initiatives. Funding was also allocated for performance enhancement initiatives, Essential Studies, general curriculum and program development, and the Center for Community Engagement. These funds have reflected allocations used to strengthen academic areas in terms of opportunities for enrollment growth, synergies of existing academic units, diversification of the student body, and addressing the needs of the state.

5.C.1.c - Moving Forward

The University’s mission and Exceptional UND strategic vision serve as core documents to guide decisions on resource allocation and other institutional planning. This focus has led to establishing and growing academic programs, investing in faculty and staff, and other efforts to strengthen the campus environment, such as physical infrastructure, library resources, and athletics. UND tracks its progress on the mission and strategic priorities annually, demonstrating the centrality of those documents in guiding decision making (2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012).

While clear alignment of mission, strategic priorities, and resource allocations already exists, discussions about changing the state funding model for higher education have placed some efforts temporarily on hold, particularly regarding the resource allocation model within the Division of Academic Affairs. The UND 2003 Self-Study for institutional reaccreditation reported that the Provost & Vice President for Academic Affairs had appointed a committee to develop a resource allocation model to inform decisions within Academic Affairs. As of the spring of 2003, two different models were presented to the Council of Deans (now Academic Cabinet) for consideration and discussion, with the expectation that one of those would be adopted in the near future. However, the model adopted under then-Provost & Vice President for Academic Affairs Greg Weisenstein’s leadership was not utilized after his departure. Rather, the model discussed above, guided by strategic priorities and a focus on the state’s and University’s needs, was implemented by successor Paul LeBel.

Acknowledging the need for a clearly articulated and comprehensive institutional resource allocation model, LeBel introduced the idea of bringing to campus an external consultant to facilitate internal conversations. In July of 2012, the Vice Presidents for Academic Affairs and Finance & Operations solicited a proposal from a consulting firm to assist UND with a resource allocation workshop and the planning of a budget redesign initiative. Subsequent developments with the NDUS Chancellor, Governor, state legislature, and SBHE led UND to postpone the consultant’s visit. The state’s decision about a new funding model, the SBHE’s actions pertaining to the state’s decision, and input from UND’s new Provost & Vice President for Academic Affairs Tom DiLorenzo will be critical in identifying and implementing an Academic Affairs resource allocation model. In the meantime, when funds become available, the Academic Cabinet has continued its consultative model, in which deans submit requests and justifications based on mission and strategic priorities, and the Cabinet develops consensus around the allocations.
5.C.2
The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.

The University has dedicated time and resources toward developing a culture that integrates (1) assessment of the student experience, (2) evaluation of operations, (3) systematic planning, (4) budgeting, and (5) institutional improvements. It has done so in a manner that is cohesive and intentionally links “learning” and “leading” within the University. Figure 5.C.2-1 was developed, based on information collected for this review, to illustrate UND’s decision-making process from assessment to institutional improvements.

5.C.2.a - Assessment of the Student Experience
Data-driven decision making has been an important part of UND’s process. The University formed its Office of Institutional Research (OIR) in 1971. That office has the primary responsibility for reporting on and analyzing the University’s performance in reaching its goals and objectives. That analysis of performance includes data on the student learning experience and perceptions of the overall student experience at the University. Since the last HLC review, OIR has assessed student experiences through inventories such as the ACT’s Withdrawing/Nonreturning Student Survey, College Student Inventory, CIRP Freshmen Survey, National Survey of Student Engagement, Sophomore Satisfaction Survey, and Student Satisfaction Inventory. The results of such surveys are reported by OIR on its website and in various dashboards that are used by University administrators as well as by working groups seeking to improve the student experience or advance University priorities. In the last couple of years, such groups have included the Undergraduate Learning Working Group, the Retention Committee, the First-Year Experience Advisory Cabinet, and the First-Year Seminar Planning Committee, all of which include both faculty and staff.

The University has also moved to a more focused and intentional approach to assessment of learning within programs. In 2003, UND created an assessment position at the Assistant Provost level. At the time, the position was a 20 percent time appointment. In 2005, turnover in that position combined with new leadership in the Office of the Provost & Vice President of Academic Affairs led to upgrading the Assistant Provost position to 50 percent time, still dedicated to assessment. In 2006, the then-Provost transitioned the position to a full-time appointment with additional administrative responsibilities for the remaining 50

Figure 5.C.2-1
Integrated Action Steps

Assessment of Student Experience

Evaluation of Operations

Improvements

Budgeting

Planning

Sophomore Satisfaction Survey, and Student Satisfaction Inventory. The results of such surveys are reported by OIR on its website and in various dashboards that are used by University administrators as well as by working groups seeking to improve the student experience or advance University
percent appointment. Following another change in leadership within Academic Affairs, the position was realigned in 2009-10 as Director of Assessment and Regional Accreditation with a considerably stronger focus on those two areas.

Under the leadership of the Director and the University Assessment Committee, the University has increased its emphasis on assessment of student learning (Criterion Four). The Committee is charged with developing, overseeing, and executing the University's assessment plan. As part of the systematic review of assessment activities, UND requires assessment reporting within its system of annual reporting. Each academic department is expected to identify the data that were collected during the past year and describe loop-closing activities that may have occurred. The Committee reviews these reports on a three-year cycle, thereby conducting a thorough examination of program assessment efforts over that time period. Committee members work with departments to improve plans and gather information to determine patterns in assessment activities in order to address strengths and weaknesses. At the college or school level, including the College of Business & Public Administration, the School of Law, and more, unit-level assessment committees engage in regular planning, assurance of learning outcomes, reporting, and loop-closing discussions that include regular interface with dean's offices, departments, and faculty.

5.C.2.b - Evaluation of Operations

Assessment of student learning and evaluating progress toward institutional goals also occurs in conjunction with program reviews (section 4.A.1). According to State Board of Higher Education Policy 403.1.2, existing undergraduate instructional programs are to be evaluated at least every seven years and graduate programs are to be evaluated at least every 10 years. New programs are to be evaluated within one year after the first class graduates, and general education courses are to be reviewed every five years. Adhering to SBHE policy and best practices in educational evaluation, UND's timeline for some reviews is slightly shorter. At UND, program reviews take place for undergraduate and graduate programs every seven years. Essential Studies (general education) courses are reviewed every four years.

As described in the SBHE policy, the "purposes of instructional program evaluation shall include but need not be limited to assessments of the current level of program quality, means to improve program quality, relationship of the program to the mission of the institution, and program productivity."

Many programs also maintain disciplinary accreditation (e.g., programs in aviation, nursing, and social work) and special service accreditation (e.g., counseling services and student health services). Accreditation reviews typically evaluate performance in terms of fulfillment of the University's and program's mission, including success with student learning and resource and infrastructure adequacy. As of 2013, the University is moving to obtain permission from the NDUS to synchronize external accreditation cycles with system cycles to minimize unnecessary burdens on academic units and maximize the potential positive impacts of program evaluations.
Building on the cornerstones of connections and community, an Exceptional UND is envisioned as a nationally and internationally recognized state university in which a community of dedicated teacher-scholars promote the public well-being and educate the next generations of students to be leaders in shaping a better future.

5.C.2.c - Systematic Planning and Budgeting

Since 2001, the University has engaged in systematic planning efforts (see Pathways to the Future in 2001, Building on Excellence in 2005, and Exceptional UND in 2011) (Figure 5.C.2-2). As the plans indicate, a thorough review of the external and internal environments led, in each case, to identifying University priorities. Under Pathways to the Future in 2001, preliminary efforts led to the establishment of annual progress reports demonstrating assessment, evaluation, planning, and annual reporting. Under UND Strategic Plan II, Building on Excellence, (2005), those same linkages were retained and a connection to budgeting was added.

Annual reports on alignment of NDUS goals and UND strategic priorities are submitted to the SBHE via the President. These reports indicate how UND’s strategic goals align with those of the SBHE. Reports from 2005 through 2010 align specific elements of Building on Excellence with specific SBHE goals, and document the institution’s progress toward completion.

While the Pathways to the Future in 2001 and Building on Excellence in 2005 included clearly stated objectives and measures, the Exceptional UND strategic vision functions differently. As described more fully later in this chapter (section 5.C.3), Exceptional UND is a decentralized, community-building approach to planning. Based on themes that emerged from a series of University-wide town halls in 2010, Exceptional UND articulates and outlines strategic priorities designed to help achieve a shared vision of institutional excellence. An Exceptional UND is intended to strengthen connections and nurture the potential of every member in the University community. Building on the cornerstones of connections and community, an Exceptional UND is envisioned as a nationally and internationally recognized state university in which a community of dedicated teacher-scholars promote the public well-being and educate the next generations of students to be leaders in shaping a better future.

The five Exceptional UND priorities are (1) enrich the student experience; (2) encourage gathering; (3) facilitate collaboration; (4) expand the University’s presence; and (5) enhance the quality of life (section 1.A). These priorities were distilled from dozens of themes and numerous specific ideas articulated by faculty, staff, students, administrators, and community members at the various open forums held in 2010. Using the priorities, President Kelley has asked the campus to engage in a process of careful thought and informed implementation; he has also empowered units to align their own mission and vision with those of the University.

A number of strategic initiatives across the University have already been implemented under Exceptional UND, and the University’s implementation of initiatives under these strategic priorities continues. Exceptional UND is viewed as a flexible and responsive document that grows organically out of work occurring within and across divisions, colleges and schools, and departments. Efforts within the Exceptional UND strategic priorities are intended to be adaptable to the changing environment in terms of leadership and policies in the state and NDUS. Thus, the document sets priorities and articulates a shared vision to guide the campus, rather than specifying firm performance indicators and measurable targets.
<table>
<thead>
<tr>
<th>2001 Strategic Goals</th>
<th>2005 Strategic Goals</th>
<th>2011 Strategic Priorities</th>
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<tbody>
<tr>
<td><strong>Pathways to the Future</strong></td>
<td><strong>Building on Excellence</strong></td>
<td><strong>Exceptional UND</strong></td>
</tr>
<tr>
<td>Provide a quality curriculum with a solid liberal arts foundation for each field of study to prepare students for rich, full lives, productive careers, and civic leadership.</td>
<td>Prepare students to lead rich, full lives, to enjoy productive careers, and to make meaningful contributions to society by providing them with a high-quality educational experience solidly grounded in the liberal arts.</td>
<td>Enrich Learning and the Student Experience.</td>
</tr>
<tr>
<td>Expand and strengthen the University’s commitment to research and creative activity, both as a means of enriching the learning environment and as a driver for economic development.</td>
<td>Expand and strengthen the University’s commitment to research and creative activity, both as a means of enriching the learning environment and as a driver for economic development.</td>
<td>Encourage Gathering.</td>
</tr>
<tr>
<td>Serve the people of North Dakota, the region, the nation, and the world more effectively through applied and basic research, cultural experiences, and economic development programs as well as through a comprehensive array of educational opportunities.</td>
<td>Serve the people of North Dakota and the world more effectively through applied and basic research, cultural programs, and economic development programs as well as through a comprehensive array of educational offerings.</td>
<td>Facilitate Collaboration.</td>
</tr>
<tr>
<td>Improve the campus climate for living and learning.</td>
<td>Sustain a positive campus climate for living and learning.</td>
<td>Expand UND’s Presence.</td>
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<tr>
<td>Optimize and stabilize enrollment to achieve the desired number and mix of students appropriate to the University’s mission.</td>
<td>Optimize and stabilize enrollment to achieve the desired number and mix of students appropriate to the University’s mission.</td>
<td>Enhance the Quality of Life for Faculty and Staff.</td>
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<td>Optimize the use of information technology to improve student learning, research, and the administration of the University.</td>
<td>Optimize the use of information technology to improve student learning, research, and the administration of the University.</td>
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<td>In support of all of the above, ensure that the University has a well-prepared, enthusiastic faculty and staff, first-rate physical facilities, an adequate financial resource base, and an appropriate, efficient organizational structure.</td>
<td>Take resource development to a new level through an enhanced cooperative approach involving the President, Vice-Presidents, Deans, and Chairs in concert with the UND Foundation and other foundations, while building greater public understanding and support of the University’s mission, distinctive qualities, and strategic agenda.</td>
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<tr>
<td></td>
<td>In support of all of the above, ensure that the University has a well prepared, enthusiastic faculty and staff, first-rate physical facilities, an adequate financial resource base, and an appropriate, efficient organizational structure.</td>
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The University’s annual progress report also aligns UND’s strategic priorities with evidence of performance, and the data indicate incremental improvements such as average ACT composites for entering classes (Progress Report, Page 7), student satisfaction with the overall social experience (Progress Report, Page 7), employee satisfaction (Progress Report, Page 15), and positive student responses to diversity (Progress Report, Page 16). The report describes steps taken to integrate evaluation of planning efforts, budgeting, and institutional improvements. However, the University recognizes that more is needed in the implementation of Exceptional UND. Since 2011, “Goalshare” reports, prepared annually, document alignment of institutional and SBHE goals. The 2011-2012 Goalshare report, which is the only one completed to date, is less specific than alignment plans. Although Exceptional UND is adaptable and organically formulated, the Goalshare report reflects a lack of specific objectives. Absent a clear implementation plan with identifiable objectives, measures, and action items, the University may face challenges in maintaining its long-term, strategic outlook rather than responding to fluctuations based on single events or initiatives that could cause the University to stray from its intended path.

5.C.2.d - Institutional Improvements

Institutional improvements are elaborated on in section 5.D. However, to illustrate some of the accomplishments under Exceptional UND, the University has begun to showcase strategic priority initiatives. Other recent actions have taken place in response to student experience data. For example, over the past two years, hundreds of first-year UND students have provided input on what it

Examples spelled out throughout this self-study, including in the sections below, demonstrate that the institution is making progress toward the Exceptional UND vision. From First-Year Seminars to Living-Learning Communities, from the creation of the Enrollment Management Planning Committee and Retention Committee to the Diversity Advisory Committee, from the construction of the SCALE-UP classroom to study and outreach designed to assist the state during the recent oil boom, the University is engaged. In 2012, the University held the first Exceptional UND Showcase, providing the opportunity for many of the implementation teams to demonstrate their ongoing work and accomplishments. [Link to Exceptional UND Showcase page]
tough to be successful as a new college student, as well as on ways UND can make a student's first semester on campus the launching point for a successful college career. Based on this feedback, the input of the Undergraduate Learning Working Group, and increased commitment by University (Figure 5.C.2-2) leadership, faculty, and staff to implementing national best practices in teaching and learning, the following actions were taken:

- The Introduction to University Life class has made changes to help first-year students become better connected to the University through student involvement opportunities, and to become more reflective about the learning they do in college.

- The First-Year Seminar Program was specifically designed to help promote academic connections among first-year students, a type of activity consistently identified by new UND students as important for their success.

- UND is developing an integrated approach to providing First-Year Experience options to first-semester students. Data from actual UND students as well as best practices are being used to help shape the future of the first-year experience at UND.

These efforts illustrate the initial four steps of Figure 5.C.2-1 showing the relationships among assessments of the student experience, evaluation of operations, systematic planning, and budgeting. The fifth step, which integrates actions leading to institutional improvements, is discussed in section 5.D.

5.C.3
The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

The University's planning process encompasses the institution as a whole. Planning is broad and inclusive. Planning at the institutional level is demonstrated by the UND Strategic Plan II Building on Excellence, the Core Technology Plan 2008-2009, the Campus Master planning process, the Residential Master Plan, Exceptional UND, and the Athletics Master Plan.

5.C.3.a - Exceptional UND

In December 2009, efforts leading to Exceptional UND were launched when President Robert Kelley used his State of the University Address to invite the campus to join in a series of conversations about the institution's future. Citing the previous two strategic planning exercises in the last decade, President Kelley called for a community conversation to chart the University's course. To help facilitate the campus conversations, UND engaged Stratus Consulting. In a process led and supported by then-Provost & Vice President for Academic Affairs Paul LeBel, approximately 350 members of the campus community participated in a series of around 50 town hall meetings/breakout sessions in March and April of 2010. There were also two open forums attended by about 100 participants. A workshop involving approximately 100 faculty, students, and staff was held in early May to discuss 32 initiatives that had emerged from the meetings, and to combine and cull that list down to 18. This was followed by an open forum in which to-date findings were presented to the campus community. The 18 initiatives were outlined in detail over the summer and additional meetings
were held with campus and city representatives to assess their feasibility, refine them further, and determine their impact on the desired outcomes. A progress update and summary of the work was presented to approximately 100 attendees at a Wrap-Up Conversation in late September. Based on these discussions, five strategic priorities emerged and were adopted by campus leadership.

5.C.3.b - Enhancing the Undergraduate Experience

In the fall of 2009, shortly before the efforts to craft the Exceptional UND priorities began, the Academic Affairs Division established an Undergraduate Learning Working Group (ULWG). Consisting of faculty, staff, students, and administrators with a particular interest in undergraduate education, the ULWG was charged by the Provost “to develop recommendations for improving student learning across the undergraduate curriculum to position the University of North Dakota as a premier public undergraduate education institution with the capacity to recruit, retain and graduate talented students from the region and beyond” (ULWG, Page 35). The basis for the group’s work was the national dialogue about college student under-preparedness and student disengagement in college academics. In addition, data collected at UND highlighted local concerns regarding student satisfaction, engagement, and performance. The Provost’s charge to the working group noted that UND had results that were similar to national trends in terms of students achieving course outcomes at the D/F/W/I (D or F grades, withdrawals, incompletes) levels. At UND, more than 30 classes offered in 2008-09 were found to have D/F/W/I “rates greater than one-third of student enrollees, and more than 70 classes [had] D/F/W/I rates greater than one-fourth” (ULWG, Page 35, Paragraph 4) (sections 3.B.5.c and 4.B).

After a comprehensive 18-month review of local data and national best practices, the ULWG advanced seven recommendations:

1. Encourage the creation of first-year experience (FYE) pilot courses to be offered in 2011-2012;
2. Use information obtained from the FYE pilots to help plan for a long-term FYE program at UND;
3. Enhance UND’s current pilot early intervention system (EIS) and expand its reach;
4. Pilot and assess a graduate teaching assistant (GTA) teaching excellence program;
5. Increase the staffing of the Office of Instructional Development (OID), with a focus on expertise in student learning and teaching assistance for faculty;
6. Begin a Scholarship of Teaching and Learning (SoTL) initiative at UND; and
7. Implement a variety of institutional policies and practices to support and value faculty efforts in the area of teaching and teaching excellence.

The Provost’s Office, in collaboration with the Division of Student Affairs, began addressing the recommendations.

As a first step, the Provost’s Office asked two faculty leaders to serve as co-coordinators of a pilot FYE program. The co-coordinators worked with members of the ULWG to develop a concept,
Course proposals judged likely to achieve those outcomes, which were written in alignment with the Exceptional UND priority of enriching the student experience, were adopted.

In addition to funding the co-coordinator and faculty positions to staff the First Year Seminars (FYSs), the Division of Academic Affairs funded faculty development workshops for the FYS instructors. The workshops placed attention on helping faculty to “understand the characteristics of recent UND freshman classes, discussions of transition activities that would help accomplish the FYE pilot project goals, and readings about successful classroom engagement activities” (ULWG, Page 11). Program coordinators also carried out an overarching assessment of FYEs at the University, drawing on data from Honors, Integrated Studies, the Engineering & Mines Living/Learning Community, and University Life for comparison. This systematic review included student input data such as ACT scores, GPAs, retention, and demographics; student perception data drawn from the College Student Inventory (CSI), the Student Information Questionnaire (SIQ), and the Beginning College Survey of Student Engagement (BCSSE); end-of-semester survey data; information from a reflective assignment completed by all students and scored by a faculty team; and instructor inputs and sample course materials.

Initial data demonstrated promising outcomes. Students in the Honors/Integrated Studies Program (ISP) cohort described having experienced more “integrated” and “engaged” learning than their fall 2011 FYS peers; they also had more positive (partial) NSSE scores than recent cohorts of UND first-year students. Students in the FYS pilot cohort were more “integrated”/“engaged” than the
students in Introduction to University Life (Univ 101), and, like the Honors/ISP students, had better (partial) NSSE scores than recent cohorts of UND first-year students. As a whole, the differences identified, with a few small exceptions, did not depend on whether students were subcategorized according to level of high school GPA (above versus below 3.5). The FYS pilot students described their experiences as equally or more challenging than what was described by students in either the ISP/Honors or the Univ 101 cohorts. The University is continuing the FYS program. In 2012-13, Academic Affairs again funded an FYS Coordinator to facilitate faculty development for the seminars and to lead the creation of common assessment goals, techniques, and metrics that will inform future decision making about scaling the program up to provide an FYE for all incoming first-year students. To increase the intentionality in creating a cohesive FYE program across the University, the Provost’s Office asked the second FYS co-coordinator to lead an FYE Advisory Cabinet composed of representatives across the Divisions of Academic & Student Affairs. The FYS program is seen as a showcase initiative within a menu of FYE options, with the entire menu highlighted to prospective and current students as a vehicle for engaging them in the college experience and helping them succeed.

5.C.3.c - Planning at the College and VP Levels

The University engages in planning using Exceptional UND as its roadmap. Several divisions within the University, including a few colleges, have developed comprehensive strategic plans. The Division of Research & Economic Development, School of Medicine & Health Sciences, Division of Student Affairs, and College of Engineering & Mines are among those that have presented and are in the process of implementing their plans. Recognizing the need for a comprehensive master plan, the Vice President for Finance & Operations appointed in July 2012 a master planning process steering committee charged with development of a comprehensive campus master plan that addresses facility needs (academic, research, athletic), parking, traffic, green space, recreation, infrastructure, utilities, historic preservation, and residential planning in a holistic fashion (section 5.A.1.c). At the March 2011 Academic Leadership Forum, in which academic deans engaged in conversation with the campus community, then-Provost & Vice President for Academic Affairs Paul LeBel emphasized that the direction the institution takes under the Exceptional UND strategic priorities is now the responsibility of the campus community. LeBel described the strategic priorities as intended to guide planning and decision making in divisions and departments across UND and to serve as a map for the direction in which President Kelley is leading the University. Academic Affairs continues to build on this vision; examples include work to improve the undergraduate experience through initiatives such as the FYE and undergraduate research, providing leadership to the recently created Diversity Advisory Council, and the implementation of a new leadership development program for department chairs.

In addition, each division has identified its own Exceptional UND initiatives. Some of those were on display at the inaugural Exceptional UND Showcase on April 30, 2012. For instance, the School of Medicine & Health Sciences (SMHS) noted its efforts to enhance state medical and health services through its patient-
Community Engagement, UND Career Services, and Greater Grand Forks Young Professionals are partnering to develop better means of connecting students with internship and co-op opportunities in the Grand Forks region. In 2012, the Center for Community Engagement offered several seminars designed to help local businesses and organizations build relationships and to present best practices and procedures in experiential learning.

A third example is in UND’s research endeavors. As a research university with a strong undergraduate base, the University is focusing on expanding undergraduate research (Criterion Three) opportunities by building on existing programs such as the Experimental Program to Stimulate Competitive Research’s Advanced Undergraduate Research (EPSCoR AURA) program. The ND EPSCoR AURA program provides undergraduate students with opportunities to experience research in the STEM (Science, Technology, Engineering and Mathematics) disciplines traditionally supported by NSF at a point when those students are still making important decisions about their career goals. This program teams undergraduates new to research with faculty mentors. Between 2005 and 2012, more than 74 students, 10 departments, and three colleges were involved. Other efforts to enhance undergraduate research include a similar program provided within SMHS, Research for Undergraduates (REU) program opportunities, and public presentation opportunities such as those provided by the Honors Program’s thesis option and conference. These research initiatives have led to original student research presented at annual conferences, including UND’s IDeA Network of Biomedical Research (INBRE) Annual Symposium.

As a Carnegie-classified community engaged university, UND emphasizes enriching the student learning experience through enhanced experiential learning opportunities. The UND Center for centered learning (PCL) instructional approach, interprofessional health programs, rural health care projects, the Indians Into Medicine (INMED) program, a joint Master in Public Health program with North Dakota State University, and, most recently, a joint effort with the College of Business & Public Administration to offer courses in health policy and health finance for master’s-level programs in both colleges. These initiatives align with the strategic priorities of expanding UND’s presence, facilitating collaboration, and enriching student experiences (Showcase Display one and two).
Divisions of Research & Economic Development and Academic Affairs are collaborating to find ways to further enhance undergraduate research opportunities, in part by working to create a searchable web-based clearinghouse to provide information and the opportunity to pair up interested faculty and students on particular projects.

5.C.3.d - Core Technology Planning

In addition to planning efforts conducted in support of Exceptional UND, some units within the University have engaged in systematic planning to enhance their own missions and priorities. One notable example is the 2008-09 Core Technology multiple-phase planning process, which featured a comprehensive approach that engaged a cross section of campus constituents. This process, like others at UND, was based on dialogue and feedback, allowing campuswide input on technology needs. A series of campus forums were organized around various aspects of the plan, and all stakeholders were encouraged to attend any of the sessions. Final recommendations resulting from the 2008 Technology Strategic Planning forums, 2009 Core Technology Services forums, and CIO Box Lunch Sessions were shared with campus leaders, which led to the creation of the plan’s framework. The final results of the planning process were captured in the Core Technologies recommendations (Criterion Three) that included specific goals for actions and resource allocation in the areas of:

- Faculty/Staff Unified Communication Services
- Learning Management System
- Smart and Technology-Enhanced Classrooms
- Computer Labs
- Technology Support
- Data Storage
- Research Technology.

An implementation plan for the recommendations was created in 2010. In 2011, a follow-up survey regarding the Core Technology recommendations was circulated to faculty and staff, and an update was provided via the CIO’s website.

Reorganization of the Information Technology area, in conjunction with NDUS IT, is now under review, and full implementation of the Core Technology plan, consistent with the Exceptional UND vision, is expected to occur under the leadership of the new Provost/VPAA beginning by late in 2013.

5.C.3.e - Moving Forward

Significant changes in leadership have influenced the institution’s ability to establish a fully linked planning process while at the same time energizing the campus with new ideas. In the past several years, UND has experienced considerable turnover in leadership positions, including the President and all vice presidents, as well as multiple deans (section 5.C.2). Recent hires include the Deans of Nursing & Professional Disciplines and Law. Interim deans in the last two years include those in Arts & Sciences (new hire expected to be in place for fall of 2013), Education & Human Development (with a new dean hired, who starts on July 1, 2013), and the School of Graduate Studies (search not yet conducted). As these positions are filled and the Academic Cabinet establishes its priorities, under the leadership of Provost & Vice President for
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of the Undergraduate Learning Working Group, the College of Engineering & Mines Living & Learning Community, the Enrollment Management Planning Committee, the Retention Committee, the Honors Experience Working Group, and the Policy Development Process. These collaborations enhance the University’s ability to enact changes designed to address strategic priorities and improve operations across UND.

5.C.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.

The University seeks to thoroughly understand its capacity and plan for contingencies in the event of fluctuations in revenue sources and other foreseeable events. The UND Annual Budget Narratives for fiscal years 2008 through 2013 (2008, 2009, 2010, 2011, 2012) consistently identify the following critical issues: faculty and staff salaries, demographics (i.e., the declining number of 18-year-olds in North Dakota), the overall public funding level as compared to that of peer institutions, research infrastructure and staffing, and the need to maintain accessibility.

Enrollment management remains a high priority for the University. The University engaged outside consultants in 2011 and 2012 to review the University’s enrollment strategies. Following campus conversations facilitated by the consultants, a new Enrollment Management Planning Committee (EMPC) was created in 2011 with the aim of involving academic departments
While UND’s enrollment continues to increase and record enrollment growth occurred again in 2012-13, the future goal is to stabilize enrollment at around 14,000 students. 

The University has taken steps to prepare for declines in federal research spending, particularly in basic science. The research division’s strategic plan, the growth of the UAS program, and the addition of the petroleum engineering program serve to compensate for the decline in federal earmarks.

5.C.5 Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.

The University planning process includes a thorough analysis of the external environment, including emerging factors that are forecasted. For instance, to maintain a strong technology infrastructure in an ever-changing environment, the University gathered campus users and consulted leading sources about current and future needs. After a series of data-gathering sessions and consulting with a University committee that continuously explores changes, UND constructed a Core Technology Plan that addresses current and anticipated needs of a research university’s information technology. A discussion of the comprehensive IT planning process and resource infrastructure is included above (section 5.A.1.d).

The University has also recognized and responded to changes in demographics. In evaluating UND’s financial condition, a Moody’s report states that UND recognizes that the number of graduates from North Dakota high schools will continue to decrease. From 2007 to 2011, the number of high school students (grades 9-12) enrolled statewide declined from 31,492 to 29,641, a reduction of almost 6 percent. This decline has been projected to continue. Over this same period, the total number of North Dakota
residents attending UND remained essentially steady (about 6,500 each fall), but the percentage of the student body this represents has declined from 59.6 percent (fall of 2007) to 53.1 percent (fall of 2011). The University now actively recruits in Minnesota, Washington, and Wisconsin. Today, out-of-state students outnumber in-state students. To ensure continued effectiveness in addressing demographic shifts and enrollments, the University has begun Strategic Enrollment Management planning with the assistance of an Enrollment Management Planning Committee and a new Assistant Vice President for Admissions & Financial Aid, as described earlier in this chapter (Criterion Three and Criterion Five). In short, the University evaluates its external and internal environments and responds carefully and deliberately in anticipation of likely changes.
5.D. 
THE INSTITUTION WORKS SYSTEMATICALLY TO IMPROVE ITS PERFORMANCE.

The University continues to build a culture of systematic performance review of its evaluation and planning processes as well as its operations, and it responds effectively to needs for improvement within the institution.

5.D.1
The institution develops and documents evidence of performance in its operations.

UND has formal structures in place for evaluating processes and performance within individual units of the University and across the institution, much of which is overseen by the Office of Institutional Research and documented in annual reports. In addition, UND has systems in place to draw on benchmarks and special expertise to bring a national perspective.

5.D.1.a - Office of Institutional Research

Divisions and offices within the University engage in the development of systematic and evidence-based performance evaluations. The primary source for much of the institutional data is the UND Office of Institutional Research (OIR). The Office of Institutional Research serves as a resource for decision makers by providing data that can be used to assess progress toward institutional goals. OIR conducts studies, administers surveys, and maintains and reports information on topics such as enrollment, retention, degree completion, productivity, and other areas of interest.

OIR administers several institutional surveys each year and reports detailed trend analysis on the findings. Among the surveys that OIR conducts and analyzes are the following: Beginning College Survey of Student Engagement, Campus Quality Survey, College Student Inventory, Collegiate Learning Assessment, Employer Satisfaction Survey, Employment (Placement) Survey, Faculty Survey of Student Engagement, CIRP Freshman Survey, SIQ Freshman Survey, Graduating Student Survey, National Survey of Student Engagement, Sophomore Satisfaction Survey, Transfer Student Survey, and others. A complete list is available at the Institutional Research website. Using data from these tools as well as data compiled in response to ad hoc reporting requests, OIR provides support for assessment, program review, enrollment management, institutional grant applications, accreditations, and strategic planning.

Other OIR responsibilities include providing support for human resource and financial query applications, creating student cohort databases for longitudinal comparisons and analysis, conducting analysis of peer institutions, producing and disseminating the University Student Assessment of Teaching (USAT) instructor reports, and serving as a liaison on the NDUS Accountability Committee.

5.D.1.b - Annual Reports

Four annual reports illustrate the range of documentation, drawn from multiple sources, used to construct summaries of the University's overall performance.

NDUS Accountability Report: In 1999, the legislative Interim Higher Education Committee established the Roundtable on Higher Education, a group of state leaders from the public and private sectors charged with defining the role of North Dakota higher education and setting expectations for the North Dakota University System (NDUS). Among the expectations was that the institutions
would play major roles in revitalizing North Dakota’s economy. The Roundtable identified six cornerstones to ensure that NDUS colleges and universities continue to serve the state by providing high-quality education. The cornerstones are: Economic Development Connection, Education Excellence, Flexible and Responsive System, Accessible System, Funding and Rewards, and Sustaining the Vision (section 5.B). For more than a decade, NDUS has required its institutions to address their performance within each of the initial five cornerstones. The sixth cornerstone, Sustaining the Vision, operates as a holistic review of performance. The University has annually reported its progress in addressing these measures to gauge its success in fulfilling the Roundtable’s commitment to enhance the economic and social vitality of North Dakota.

University Progress Reports: For more than a decade, the University has published an annual Progress Report. The Progress Report is a publication that consists of illustrated data (e.g., graphs and charts) and narrative description informing the University community and constituents about UND’s progress on its strategic priorities. As the strategic priorities have evolved over time, the Progress Report framework and contents have changed as well. Initially, the Progress Reports responded to the 2001 Strategic Goals of the Pathways to the Future Strategic Plan. In FY 2007, after a full year of work with the 2005 Strategic Goals of the Building on Excellence Strategic Plan, the Progress Reports shifted their attention to the revised goals. The latest Progress Report, for fiscal year 2012, is the first Progress Report addressing the 2011 Strategic Priorities of Exceptional UND (Progress Report FY11, Page 30).

IPEDS: The Integrated Postsecondary Education Data System (IPEDS) is the official U.S. Department of Education postsecondary education data collection and reporting system. Every institution that participates in any federal student financial aid program authorized under Title IV of the Higher Education Act of 1965 is required by law to report annual data. Today, IPEDS represents the most comprehensive data source on postsecondary schools, with information such as numbers of students enrolled, staff employed, dollars expended, degrees earned, and tuition rates. UND’s participation in the program allows it access to data from other institutions. This access enables UND to analyze trends in comparison with peer and competitor institutions for areas of interest such as tuition rates, institutional aid, and graduation rates.

Annual Financial Report: The University’s Annual Financial Report summarizes its financial activity from a fiscal year. The financial statements presented in the annual report are extracted from the single financial report of the 11 public postsecondary campuses under the NDUS. The University also reports on component units such as the UND Foundation and the Aerospace Foundation. These component units are legally separate entities with their own audit reports, but detail in their financial statements more fully describes significant financial relationships between these components and the University as well as documenting progress in matters such as development and commercialization activities. Another key section within the Annual Financial Report is Management’s Discussion and Analysis. This portion of the report contextualizes the financial data. It links key organizational concepts (e.g., mission, vision, planning, budgeting, and resource allocation), and it assesses the institution and evaluates its performance by highlighting accomplishments and identifying areas needing attention. The Annual Financial Report documents the institution’s performance both financially and in terms of institutional actions directed at fulfilling its purposes and goals.
Many other annual reports also indicate performance. For instance, the personnel who make up the University, including both faculty and staff, undergo annual performance review. Documentation of these evaluation tools can be retrieved from the Office of Human Resources, the academic policy and procedure manual for general employees, and the Faculty Handbook (section 3.A.3.c).

5.D.1.c - Other Documentation Systems

Other systems are also in place to evaluate the University's performance. Many academic units are routinely reviewed by external parties in conjunction with college, school, department, and program accreditation. As of this writing, there are 34 distinct accreditations held by colleges and schools across campus. Documentation includes accreditation reports and reviews. (Table 4.A.1.b-1).

Similarly, UND itself undergoes reviews including institutional accreditation through the Higher Learning Commission, federal reporting for federal financial aid requirements, and federal research compliance reporting to address health, safety, and national security concerns. The state inspects the NDUS schools by conducting annual financial audits and biennial performance audits to review program, function, operation, and/or the management systems and procedures for adherence to state laws. Finally, UND responds to external requests for information submitted by sources such as Princeton Review, and US News and World Report, and to requests from organizations such as the Consortium for Student Retention Data Exchange, American Association of University Professors, and Oklahoma Faculty Salary Survey. These organizations evaluate universities through activities such as rankings and performance comparisons in terms of student success rates and positive or negative salary gaps in comparison to the average within a group. Findings of such studies are typically available to the public.

The University engages consultants for special, focused reviews. Recently, in conjunction with the senior leadership changes described earlier in this chapter, external consultants have provided significant assistance. The consultants bring their expertise, including adding a national perspective, to the area under review. They often draw on benchmark data to inform the analysis. Consultants recently engaged, for example, have explored capacity building and organizational structures to address plans for a comprehensive Strategic Enrollment Management effort, space utilization for the School of Medicine & Health Sciences, the prospective hire of a senior leader to advance the University's diversity and inclusion, and the University's strategic vision, which led to Exceptional UND.

5.D.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.

UND demonstrates a pattern of review and response to the institution's operational needs and opportunities. At a basic level, financial records demonstrate a continued responsiveness to instructional and other academic needs. Research activity has grown to meet the institution's mission. Faculty and staff salaries have been increased to narrow the gaps between UND and other doctoral institutions. These activities demonstrate the University's efforts of improving, over a period of years, by balancing multiple interests.
The University has a practice of sharing progress updates across the institution to spread lessons learned and generate new ideas with the goal of improving operations. This is often accomplished through workshops and information sessions designed to enhance faculty and staff work. For instance, the Center for Instructional Learning & Technologies offers regularly scheduled events including Tech Trend Forums, as well as providing demonstrations and interactive sessions on strategies that integrate sound pedagogical practice with advanced technologies. Similarly, the Office of Instructional Development offers lunch-time seminars, colloquia, and workshops that demonstrate best practices and emerging trends in sound pedagogy using examples provided by peers.

The University recently created a forum for staff and students to share their progress toward Exceptional UND priorities and spur additional innovations. In April of 2012, the University sponsored the first Exceptional UND Showcase. This event was the first opportunity for the campus and local community to engage with many of the Exceptional UND initiatives. Students, faculty, and staff working on the various projects participated in a poster presentation session, inviting attendees to offer input on their work. The focus of the Showcase was on sharing information and obtaining feedback that could inform next steps.

As a matter of regular practice, the University administration looks to best practices at the national level when questions or opportunities arise. Their aim is to use those lessons, often provided through UND’s membership in the Education Advisory Board’s University Leadership Council, to inform the University about opportunities to improve its operations. Examples of the use of ULC reports to inform innovation and improvement at the University include the First-Year Experience, Honors Experience Working Group, Diversity Advisory Council, and other initiatives sponsored or implemented by the Division of Academic Affairs.

When matters of concern are called to the University’s attention, UND reviews the information, evaluates its situation, and takes action. Since the last HLC visit, UND has experienced three state performance audits that have been issued to address concerns about the use of student fees, charges on capital projects, and compliance matters at the UND School of Medicine & Health Sciences (SMHS). Each performance audit led to a series of discussions, reviews, and responses. The earliest of these audits, for example, involved the SMHS. Nearly all of the matters have been resolved or currently are in progress. Many of these matters have led to the Health Care Workforce Initiative (HWI), which is discussed earlier in this chapter (section 5.B).

The University has also improved its assessment of student learning since the 2003 comprehensive visit from the HLC (section 4.B). Considerable progress was made prior to the focused visit that took place to specifically examine assessments of student learning. Since then, the institution has continued efforts to institutionalize assessment across academic and administrative units. The Senate’s University Assessment Committee “provides faculty guidance and oversight in developing and implementing the University Assessment Plan, analyzing and interpreting assessment results, developing appropriate reports, and distributing assessment results to the Office of the Provost & Vice President for Academic Affairs.”
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The study team’s work, as well as direct assessments that followed, became the impetus for formation of the General Education Task Force in 2005. The work of the task force, in turn, culminated in a major reform of the general education program, with the new Essential Studies program implemented for entering first-year students in 2008 (section 3.B).

A number of major revisions to general education resulted, including changes in goals and breadth requirements, and also program additions, including special emphasis courses, definitions and rubrics developed for each goal, and implementation of a capstone requirement. At the recommendation of the task force, an Essential Studies office was established and a Director appointed, with ongoing funding from the Provost’s Office.

Progress has continued since the program’s initial rollout. The Essential Studies program has completed a cycle of students taking their general education under the program, culminating in capstone experiences, and ES is now undergoing formal program review. Accomplishments related to the development of ES were recognized by the Association of General and Liberal Studies, which honored UND with its Improvement in General Education Award in 2008.

All of these changes and revisions represent progress that occurred as a result of UND’s ability to learn from its experiences and apply that learning to improve institutional effectiveness.

5.D.2.b - Improving Service to Students as an Example of Institutional Learning

UND has a comprehensive University Assessment Plan and a publicly available collection of departmental assessment plans available for review on the Assessment Committee website. In recent years, that site has expanded to include an archive of earlier versions of assessment plans as well as the most currently submitted plan for each program. The archive provides a concrete demonstration of the continuing evolution in program assessment which has resulted from institutional learning used to improve program effectiveness.

5.D.2.a - Essential Studies as an Example of Institutional Learning

The revisions to UND’s general education program, now Essential Studies, demonstrate how the institution drew on data, evaluated that data, made improvements, and planned and budgeted accordingly.

In 2006, the University completed a six-year, cohort study of its general education program. Ten faculty, in a project funded by a Bush Foundation grant, received training allowing them to develop and carry out a longitudinal study of UND’s general education program. They conducted regular interviews with a group of randomly selected students, whom they followed through the students’ careers at UND. In the interviews, students were encouraged to talk about what they had learned, and how and where they learned the skills described in the University’s general education goals. A report on the study, including results and recommendations, was submitted to the Provost & Vice President for Academic Affairs. The study team’s work, as well as direct assessments that followed, became the impetus for formation of the General Education Task Force in 2005. The work of the task force, in turn, culminated in a major reform of the general education program, with the new Essential Studies program implemented for entering first-year students in 2008 (section 3.B).

A number of major revisions to general education resulted, including changes in goals and breadth requirements, and also program additions, including special emphasis courses, definitions and rubrics developed for each goal, and implementation of a capstone requirement. At the recommendation of the task force, an Essential Studies office was established and a Director appointed, with ongoing funding from the Provost’s Office.

Progress has continued since the program’s initial rollout. The Essential Studies program has completed a cycle of students taking their general education under the program, culminating in capstone experiences, and ES is now undergoing formal program review. Accomplishments related to the development of ES were recognized by the Association of General and Liberal Studies, which honored UND with its Improvement in General Education Award in 2008.

All of these changes and revisions represent progress that occurred as a result of UND’s ability to learn from its experiences and apply that learning to improve institutional effectiveness.

5.D.2.b - Improving Service to Students as an Example of Institutional Learning
In the fall of 2011, the University established the Cooperation Collaboration One-Stop Shop (CCOSS). This group evolved from discussions of the Student Administration Production Team (SA Prod). SA Prod has been meeting regularly since ConnectUND implementation (section 5.A.1.d) and serves to facilitate communication among offices regarding Campus Solutions modules and related student services. SA Prod members agreed to devote one of their two regularly scheduled monthly meetings to the identification of ways to improve and enhance services to students. The SA Prod CCOSS team is composed of the SA Prod Team (staff from Admissions, Student Account Services, Student Financial Aid, Registrar’s Office, School of Graduate Studies, Dean of Students, Student Success Center) and other staff who either volunteered or were recruited. CCOSS is committed to (1) eliminate the “Twamley Shuffle” (a student term describing the experience of being referred from office to office in the central University administration building in search of needed information or services), (2) improve self-service for students, (3) develop a comprehensive communication plan for students, (4) identify and address operational issues, and (5) assess student needs and satisfaction. To date, CCOSS has:

- Submitted a proposal to the Vice Presidents for Finance & Operations, Student Services, and Academic Affairs for a One-Stop Shop in Twamley Hall. Action has not yet been taken pending a space utilization study and organizational review.
- Developed the format for a Virtual One-Stop Shop Web page for students to facilitate access to critical information regarding registration, financial aid, student accounts, and related links.
- Implemented electronic forms and processes for:
  - Campus Connection Charge Appeal
  - Residency Tuition Application
  - FERPA Release
  - Application for Certificate
  - Application for Undergraduate Degree
  - Cancellation/Withdrawal
  - Collaborative Agreement
  - Request to Add / Drop Collaborative Class
  - Undergraduate request for readmission
  - Undergraduate Request for Re-Enrollment
- Other forms and processes are under development.
- Established GroUND Breaking News, a once-weekly notification to students that consolidates communications from the student services offices into one email.
• Developed a comprehensive checklist for students with critical dates, reminders, instructions, and contact information from Student Account Services and Student Financial Aid.
• Developed a comprehensive list of dates and deadlines.
• Developed clear language regarding the impact of dropping part-term courses on financial aid and refunds that faculty who teach those courses now include in the course syllabi.
• Implemented a new Twamley Hall Help Desk (first and second floor) staffed by professional staff from Student Account Services, Student Financial Aid, and the Registrar’s Office to assist students with questions from the Friday before the term starts through Wednesday of the first week of school, including Saturday and Sunday. Help Desk staff greet students entering the building, accept forms, and have forms and information available, as well as campus maps, and directories.
• The Student Account Services’ Student Relations Manager is attending academic department faculty meetings to inform faculty of the financial implications of the advice they give to students so faculty advisors are better able to help students avoid negative financial impacts.

The Cooperation Collaboration One-Stop Shop reflects a concerted effort to enhance the student experience and respond to data barriers. Using a goal-oriented, collaborative approach, the University evaluated its service delivery, planned improvements, budgeted, and began rolling out new ways of delivering services and information to students.

The University has many projects under way which can help improve its operations, such as current plans to create a senior leadership position in diversity and inclusion, and its recent creation of an Ombuds position. In addition, initiatives are currently in progress to address enrollment management, student retention, and undergraduate student research. The challenge is ensuring that recommendations derived from studies and initiatives are periodically reviewed and updated so they can serve as an ongoing guide for institutional decision making.

Another challenge is keeping all the data together. While the Office of Institutional Research serves as the primary repository for many pieces of data that inform the University about its performance, some reports (e.g., consultant reports or reports on various initiatives) are not currently archived in that office. Establishing a central clearinghouse for such documents could improve coordination and information dissemination.

Adding to these challenges, the University is in a legislative year when new policies and budgets resulting from the work of both the state legislature and the State Board of Higher Education will shape institution-level decisions. One key factor will be the evolving structure within the system office under the recently hired Chancellor of Higher Education in North Dakota. Greater accountability is inevitable during a time when the public questions higher education more than ever. However, the University has demonstrated its adaptability and responsiveness, and it is well situated to continue that progress.

**5.D.2.c - Moving Forward**
SUMMARY OF FINDINGS REGARDING CRITERION FIVE

Areas of Strength

- The University has a strong foundation of resources and stable streams of revenue, which reflects careful fiscal stewardship.
- The University has made fiscal choices that prioritize investing in the key resource of faculty and staff.
- UND has conducted planned capital improvements, including construction projects, and is elevating its technological infrastructure.
- UND uses a decision-making process that is inclusive, participative, and functional.
- The University has a strategic vision generated by campus conversations, Exceptional UND, with priorities that have generated initiatives to enrich the student experience, encourage gathering, facilitate collaboration, expand UND’s presence, and enhance the quality of life.
- Exceptional UND has guided strategic decision making under the current administration and encouraged intentional collaboration across the Divisions of Academic Affairs, Finance & Operations, and Student Affairs, while facilitating innovation at the college or school and unit level.
- The University has an organizational culture that values continuous improvement.

Opportunities for Improvement

- While campus planning processes have led to thoughtfulness about planning, they require more deliberate and cohesive action steps to fulfill the Exceptional UND vision.
- There is a need for a campus space management policy and a more detailed master plan to address deferred maintenance and related funding needs.
- With the reorganization of the campus technology support needs nearing completion, UND should refocus on regaining and maintaining momentum towards implementation of the Core Technology Plan.

Next Steps

- Continue building on strengths of the University’s new senior leadership team.
- Continue moving forward to advance University priorities following the resolution of the Fighting Sioux nickname and logo controversies.
- Adapt quickly and appropriately to changes emanating from the North Dakota University System and the State Board of Higher Education’s evolving vision and revised policies.
- Continue to emphasize activities that bridge the Divisions of Student Affairs and Academic Affairs in an effort to improve the student learning environment and experiences, and facilitate student success in meaningful and measurable ways.