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MISSION
Northern Arizona University’s mission is to provide an outstanding undergraduate residential education strengthened by research, graduate and professional programs, and sophisticated methods of distance learning.

“Universities are entering a period of revolutionary change that will restructure nearly everything we do. Not only can we not rest on our accomplishments, but we must rethink some of the very strategies and ideals that brought us to this point, preserve those parts of our tradition still viable, and begin to sharpen our mission and focus.”

—John D. Haeger, President, Inauguration Speech, September 6, 2002

Introduction

Since Northern Arizona University’s last North Central Association Self-study in 1997, the world has undergone tremendous change. Instant communication, new technologies, advances in medicine, internationalized business, political conflict, and shifts in demographics, are transforming societies at a global level. This period of unprecedented change requires new ways of thinking and problem-solving that are at once individual and collective in nature, and that often transcend traditional boundaries. This time in history, sometimes dubbed “the knowledge age,” presents unprecedented challenges and opportunities for higher education.

Like universities across the country, Northern Arizona University is rethinking and reformulating its strategic direction in response to this rapid pace of change. Recognizing that the key to meeting challenges is innovation in education, the University is keeping pace by aligning its infrastructure to match its mission, and by developing policies and practices that support change. Conserving its dedication to stewardship and accountability in creating learning environments, the University embraces a model of innovation to improve education, to help stimulate economic development, and to address social issues and needs. This approach allows the University to respond to change and to build a dynamic structure of trans-disciplinary collaboration and flexibility.
This Self-study Report chronicles the University’s journey over the past ten years to demonstrate how dedication to its mission provided its greatest strength and guidance during a period of rapid change. The Report also presents evidence to support the University’s continued accreditation and further serves to inform Northern Arizona University’s many constituents of its accomplishments and capacities for future performance.

AN OVERVIEW OF NORTHERN ARIZONA UNIVERSITY

Northern Arizona University is a comprehensive baccalaureate and focused graduate research university that has a commitment to professional programs including those in education, the health professions, environmental sciences, sustainable technologies, and selected areas of the bio-sciences. The University is classified by the Carnegie Foundation as a large, comprehensive, doctoral, high undergraduate, primarily residential university with a high level of research activity. With its main campus in Flagstaff, Arizona, Northern Arizona University is the only public university located in northern Arizona. The University currently enrolls over 20,500 undergraduate and graduate students at its main campus in Flagstaff, through its 37 statewide locations (including the Yuma branch campus), and via online program offerings.

The University employs a comprehensive strategic planning process that includes the participation of a wide range of constituents. These important stakeholders help shape the institutional mission and goals, identify University priorities, and—through creative and intelligent discourse—provide solutions to formidable challenges and real-world problems (Appendix 1).

<table>
<thead>
<tr>
<th>NORTHERN ARIZONA UNIVERSITY’S NEW STRATEGIC GOALS FOR THE FUTURE (2007 – 2012)</th>
</tr>
</thead>
<tbody>
<tr>
<td>GOAL 1 Learning-centered university</td>
</tr>
<tr>
<td>GOAL 2 Student access, learning, persistence, and affordability</td>
</tr>
<tr>
<td>GOAL 3 Stewardship and sustainability of place</td>
</tr>
<tr>
<td>GOAL 4 Global engagement</td>
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<tr>
<td>GOAL 5 A culture of inclusion, civility, and respect</td>
</tr>
<tr>
<td>GOAL 6 A commitment to Native Americans</td>
</tr>
<tr>
<td>GOAL 7 Innovative, effective, and accountable practices</td>
</tr>
</tbody>
</table>

HIGHER EDUCATION IN ARIZONA

The Arizona Board of Regents (ABOR) has constitutional authority to lead Arizona’s three state universities: Arizona State University (ASU), Northern Arizona University (NAU), and the University of Arizona (UA).
MAJOR DEVELOPMENTS SINCE 1997
During the past decade, American universities have had to respond to growing competition, changing constituency needs, and demands for greater accountability. Public universities did this while meeting increasing costs with a decreasing share of state appropriations. Likewise, the need for a strong public image often drives agendas and stretches resources.

In the last decade, Northern Arizona University has built the capacity to respond quickly to emerging trends and more adequately align institutional actions with desired outcomes. Changes in leadership and a newly established infrastructure provide continuity to ensure long-term functionality and viability.

Presidential and Provost Leadership
At the time of the last Self-study in 1997, Dr. Clara Lovett was president. She left the University in 2001 to be briefly replaced by President Owen Cargol. Following President Cargol’s departure in 2001, the provost, Dr. John D. Haeger, was appointed president in November 2001. His contract was renewed for three years beginning July 2007.

As provost in 1997, Dr. Charles Connell was head of an organization that included both academic affairs and student services. In 1999, Dr. Connell was replaced by Dr. Mason Somerville, then dean of the College of Engineering, on an interim basis. Following a nationwide search, Dr. John D. Haeger was hired as provost in 2000. When Dr. Haeger became president, Dr. Susanna Maxwell served as interim provost. Following a nationwide search, Dr. Liz Grobsmith was hired as provost in 2001 and is now serving in her fifth year.

Changes in University Leadership and Organization
Organizational and leadership changes produced greater effectiveness in operations and services:

1. The creation of an Executive Vice President position. This person serves as Chief Operating Officer for the University. The responsibilities of this office include troubleshooting major problems and oversight of development in many key areas including marketing, communications, community outreach, and numerous operational functions.

2. The administration of Distance Learning was moved from reporting to the Provost to reporting directly to the president. The Vice President for Extended Programs and Dean of Distance Learning is now concerned with state-wide development. More recently, Distance Learning has gained some fiscal autonomy to increase responsiveness to student and workforce development needs.

3. In 2004, ten academic colleges were reorganized into six colleges to create a more effective alignment of programs. In addition, stand-alone research and public service centers merged into colleges to provide a closer association among research, service, and instruction.
4. Student affairs and enrollment services were reorganized under a Vice President for Enrollment Management and Student Affairs to create a more strategic alignment for recruitment and retention.

5. A division of Information Technology Services was created with leadership of a Chief Information Technology Officer that reports to the president. This change signified the University’s recognition of the importance of information technology for its future.

6. Budgeting, strategic planning, and institutional research were organized under a Vice President for Institutional Effectiveness to produce more comprehensive planning and accountability.

7. The Dean of Liberal Studies and Assessment was elevated to Vice Provost for Undergraduate Studies to provide leadership for enhancement of academic programs and undergraduate education.

8. A Vice President for Advancement position created higher professional standards and increased opportunities for collaboration, fundraising, and relationship building with numerous constituencies.

9. In 2006, a Vice President for Administration and Finance was hired to strengthen leadership for management of key university infrastructures and auxiliary services.

10. In 2007, the Vice Provost for Research and Graduate Studies will be split into two positions. The Graduate College will be led by a dean and the University’s research enterprise will be led by a Vice President of Research, who will report directly to the president.

11. By July 2007, a new Vice Provost for International Initiatives will be on board to lead the University’s international initiatives. The Vice Provost will oversee the Center for International Education and spearhead the development of international partnerships to enrich global learning and engagement.

12. In early 2007, the president and provost proposed a strategic change in the University’s organization to launch a significant expansion of nursing and the health professions. The new College of Health and Human Services, encompassing both the School of Health Professions and the School of Nursing, will be implemented in July 2007. This change will situate the University to move forward rapidly with the expansion of current programming and creation of new programs linked to initiatives supported by the Arizona Board of Regents and the state legislature.

13. In 2006, a new Associate Vice President and Campus Executive Officer was hired to oversee the Yuma branch campus. The president noted that the change of the position title from Executive Director to Associate Vice President and Campus Executive Officer reflects a renewed commitment to the lower Colorado River region.

14. In 2007, an Associate Vice President for Diversity and Equity position was created to advance the University’s diversity initiatives.
Introduction

Image and Market Positioning Strategy
Location can often affect a university’s ability to adapt to changing needs. Nationally, rural universities have suffered the effects of declining enrollments, while urban institutions have benefited from growing populations, expanded job opportunities, and access to expanded resources and talent.

Northern Arizona University faced these challenges effectively. After experiencing years of declining enrollment and decreased public awareness, the University initiated its first comprehensive marketing initiative in 2003. The University developed centralized marketing efforts that include extensive research, image development, and publicity to increase public awareness of Northern Arizona University as a university of action. Professional promotion of the University’s identity not only communicates its mission and services, but also enhances recruitment and enrollment management operations, for both traditional and non-traditional students (Appendix 2). An enhanced identity also provides financial and political benefits through increased grants, contracts, and donations as well as support from the Arizona Board of Regents, the governor, and legislature.

University Finances
Similar to public universities in other states across the country, Arizona’s public universities have experienced a diminished percentage of support of total budget...
from state appropriations, and have increased reliance on tuition and other revenues. The state of Arizona weathered difficult budget times during FY 2002 - FY 2004, which resulted in Northern Arizona University losing over $6 million dollars in state funding. Although state support of the University has increased in the last three years, faculty and staff remember the budget reductions and years without state employee pay plan raises.

In the last three years, the University has benefited from increases in state appropriations, but the additional state support is targeted toward areas of interest to the state. In FY 2005 - FY 2006, the state provided funding for increased costs for health insurance and pensions, faculty/staff salary increases, technology and workforce development-related research and education, and the expansion of nursing program capacity. FY 2006 - 2007 state increases provided significant salary increases, building renewal funding, funding for water research, and over $3 million for Distance Learning expansion and to improve the undergraduate experience. Growing interest in accountability suggests that future increases will continue to be associated with issues of state interest, and potentially tied to retention and graduation goals.

In general, incremental, discretionary state support is obtained through enrollment-growth funding. The formula-based funding model used by the legislature links funding to growth in enrollment. Between 1996 and 2005, the University’s overall enrollment remained relatively stable. During that time, the University did not receive significant increases or decreases in state funding associated with enrollment growth or decline. However, while overall enrollment was stable, significant enrollment changes were taking place. The
Flagstaff campus saw declines in enrollment from a high in student headcount of 14,030 in fall 1996 to 12,717 in fall 2005. It was the growth of Northern Arizona University’s Distance Learning program from approximately 3,400 students in 1996 to 6,400 in fall 2005, which helped the University maintain its state funding base.

Fortunately, fall 2006 saw the fruition of the concentrated work to build enrollment at Flagstaff and through Distance Learning. The Flagstaff campus grew by 726 students and Distance Learning/Yuma by 767 students. This enrollment growth on the Flagstaff campus and throughout the state will bring the University over $4 million dollars in state enrollment growth funds for FY 2008.

Through careful budget planning, the University has overcome the structural budget deficit it faced in 2002-2004, funded its highest planning-budget priorities, and built reserves to fund one-time expenditures such as the furniture, fixtures, and equipment necessary for the new facilities that have been added to the campus. The FY 2006 Financial Report highlights attest to the University’s solid financial footing (Appendix 3).

**Financial Highlights from the Northern Arizona University Annual Financial Report 2005-2006, Page 3:**

- Total net assets increased $10.4 million from July 1, 2005 to June 30, 2006
- Auxiliary enterprise revenues increased approximately $4.4 million from the prior year. The major increases were in Residence Life operations of $2.1 million and bookstore revenues of $1.2 million
- Investment income increased 91.9 percent or $3.3 million from the previous year
- State appropriations increased by approximately $7.1 million from the prior year
- During the fiscal year, the University issued $15.3 million of system revenue bonds, at an average interest rate of 4.70 percent, to finance construction and renovation projects on the Flagstaff Campus (see Criterion 1 and Criterion 2)
- During the fiscal year the University issued $40.3 million of certificates of participation, at an average interest rate of 4.65 percent, to construct the Laboratory Facility building and the North Campus Research Infrastructure project (see Criterion 1 and Criterion 2)
- During the fiscal year, the University issued $12.5 million of certificates of participation, at an average interest rate of 4.35 percent, to construct the Yuma research facility and the Utility Infrastructure project. (see Criterion 1 and Criterion 2)
- University cash and investments increased by $19.8 million to a total of $151.6 million as of June 30, 2006
Tuition Increases

Currently, Northern Arizona University’s tuition rate ranks 44th lowest among 52 peer institutions, with the lowest rates among Arizona’s public universities. After nine years of low tuition increases (averaging 3.8%) there was a 39% increase in AY 2003 - 2004, followed by a 13% increase in the next year. In the last two years, the Arizona Board of Regents approved modest increases of 7.9% and 3.5% respectively, with an increase of 5% slated for the coming academic year. Tuition setting is influenced by the political climate of the Arizona Board of Regents, state legislature, and the governor. Consequently, tuition increases are not predictable from year to year.

Tuition Data Showing NAU as 44th Among Peers in Resident Tuition

<table>
<thead>
<tr>
<th>Institution</th>
<th>Tuition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Pennsylvania State University, University Park</td>
<td>$12,637</td>
</tr>
<tr>
<td>2 University of Vermont</td>
<td>11,323</td>
</tr>
<tr>
<td>3 University of New Hampshire, Durham</td>
<td>10,401</td>
</tr>
<tr>
<td>4 University of Michigan, Ann Arbor</td>
<td>10,341</td>
</tr>
<tr>
<td>5 University of Massachusetts, Amhurst</td>
<td>9,595</td>
</tr>
<tr>
<td>6 Rutgers University, Newark, New Jersey</td>
<td>9,534</td>
</tr>
<tr>
<td>7 University of Illinois, Urbana-Champaign</td>
<td>9,466</td>
</tr>
<tr>
<td>8 University of Minnesota, Twin Cities</td>
<td>9,373</td>
</tr>
<tr>
<td>9 Ohio State University, Columbus</td>
<td>8,667</td>
</tr>
<tr>
<td>10 University of Connecticut</td>
<td>8,362</td>
</tr>
<tr>
<td>11 University of Missouri, St. Louis</td>
<td>7,968</td>
</tr>
<tr>
<td>12 University of Maryland, College Park</td>
<td>7,906</td>
</tr>
<tr>
<td>13 University of Virginia</td>
<td>7,853</td>
</tr>
<tr>
<td>14 University of South Carolina, Columbia</td>
<td>7,808</td>
</tr>
<tr>
<td>15 University of Delaware</td>
<td>7,740</td>
</tr>
<tr>
<td>16 University of Rhode Island</td>
<td>7,724</td>
</tr>
<tr>
<td>17 University of Texas, Austin</td>
<td>7,630</td>
</tr>
<tr>
<td>18 University of Maine, Orona</td>
<td>7,494</td>
</tr>
<tr>
<td>19 Indiana University, Bloomington</td>
<td>7,460</td>
</tr>
<tr>
<td>20 University of Wisconsin, Madison</td>
<td>6,730</td>
</tr>
<tr>
<td>21 University of California, Berkeley</td>
<td>6,654</td>
</tr>
<tr>
<td><strong>Average Cost of Attendance</strong></td>
<td><strong>6,635</strong></td>
</tr>
<tr>
<td>22 University of Kentucky, Lexington</td>
<td>6,510</td>
</tr>
<tr>
<td>23 University of Kansas</td>
<td>6,153</td>
</tr>
<tr>
<td>24 University of Iowa</td>
<td>6,135</td>
</tr>
<tr>
<td>25 University of Washington, Seattle</td>
<td>5,985</td>
</tr>
<tr>
<td>26 University of Oregon</td>
<td>5,970</td>
</tr>
<tr>
<td>27 University of Nebraska, Lincoln</td>
<td>5,836</td>
</tr>
<tr>
<td>28 University of North Dakota, Grand Forks</td>
<td>5,792</td>
</tr>
<tr>
<td>29 University of Oklahoma</td>
<td>5,710</td>
</tr>
<tr>
<td>30 University of Colorado, Boulder</td>
<td>5,643</td>
</tr>
<tr>
<td>31 State University of New York, Stony Brook</td>
<td>5,631</td>
</tr>
<tr>
<td>32 University of Tennessee, Knoxville</td>
<td>5,622</td>
</tr>
<tr>
<td>33 University of Arkansas</td>
<td>5,494</td>
</tr>
</tbody>
</table>
LOWER ONE-THIRD

34 University of Alabama 5,278
35 University of Montana 5,174
36 University of South Dakota 5,072
37 University of North Carolina, Chapel Hill 5,034
38 University of Georgia, Athens 4,964
39 University of Arizona 4,754
40 Arizona State University 4,686
41 University of Utah 4,686
42 Louisiana State University 4,621
43 University of Mississippi 4,602
44 Northern Arizona University 4,546
45 University of Hawaii, Manoa 4,523
46 West Virginia University, Morgantown 4,476
47 University of Alaska, Anchorage 4,455
48 University of New Mexico 4,336
49 University of Idaho 4,200
50 University of Nevada, Reno 3,684
51 University of Wyoming 3,515
52 University of Florida 3,330

Technology and Research Initiative Fund (TRIF)
As noted throughout this report, Arizona educators face the challenge of a rapidly growing population combined with dramatic shifts in demographics. This creates strains on education and on the economy. In 2001, Arizona voters approved the Technology and Research Initiative Fund (TRIF), a 20-year six-tenths-cent sales tax to generate additional funding for all levels of public education. At the three public universities, the legislature designated this money to support development in two areas:

- Technology-based research and programs to benefit the state economy and to provide greater access to higher education
- Programs providing “workforce development” opportunities in education, health care, and technical occupations

Facilities and Capital Development
Northern Arizona University has renovated older facilities and invested in new buildings to create formal and informal learning spaces that promote student learning. The University is not merely building a better campus in Flagstaff and investing in campuses around the state, it is providing learning environments that foster innovative research and collaboration to move ideas from concept to creation. Lessons learned and relationships fostered through the building and renovation of University facilities extend well beyond the boundaries of the campus to promote economic development, support social services, and advance the University’s mission for its many constituencies around the state.

The TRIF funding increases access to higher education and promotes innovation across the state—including remote areas.
Academic Programs
Northern Arizona University’s Liberal Studies Program has evolved significantly over the last decade. After a two-year period of study, the University adopted a new liberal studies curriculum in 1998 that was fully implemented in fall 1999. The revised Liberal Studies Program provides a coherent learning experience for students to develop multi-disciplinary knowledge and essential skills in reading, writing, critical thinking, quantitative reasoning, and creative thought. Knowledge and skills are developed by focusing on questions concerning the global implications of technology, diversity, and the complexity of environmental issues. The program introduced an interdisciplinary freshman seminar and created links to discipline majors in junior writing and senior capstone courses. Most importantly, the new program promotes assessment of student learning. Faculty review of the program resulted in revisions to be implemented in Fall 2007.

In response to developments in disciplines, professions, and changing workforce needs, Northern Arizona University has made numerous changes to its academic program offerings. The University developed a number of new undergraduate and graduate programs and revised or eliminated others. Additions include programs in environmental studies, athletic training, administration, and early childhood education. New programs in applied science and diagnostic medical imaging provide professional pathways for students transferring from community colleges. In addition to degree completion programs, Northern Arizona University also offers “fast track” programs in elementary education and nursing for students already holding a bachelor’s degree.

**DEGREE PROGRAMS INSTITUTED SINCE 1997**

Undergraduate Programs:
- Applied Indigenous Studies (BA/BS, Extended BA/BS)
- Athletic Training (BS)
- Bachelor of Applied Science (BAS)
- Early Childhood Education (BSEd)
- Engineering Physics (BS)
- Environmental Studies (BA/BS)
- Health Sciences (BS)
- International Hospitality Management (BS)
- Women’s Studies (BA/BS)

Graduate Programs:
- Administration (MAdmin) – changed from Management MS
- Applied Communication (MA)
- Applied Geographic Information Science (MS)
- Applied Physics (MS)
Northern Arizona University has participated in collaborative programs with
the other state universities to offer a tri-university master's degrees in engineering,
public health, and social work. The programs in public health and social work
have been discontinued, while the program in engineering is being phased out as
the University develops its own master of engineering program.

The expansion of professional health programs is a top priority of the University.
Current planning will expand programs in the health professions, including
programs in nursing, dental hygiene, and physical therapy. These and other pro-
gams will help to remedy workforce shortages and respond to need in fields like
occupational therapy, biomedical laboratory science, and physician assistants.

The growth of health professions programs is endorsed by the Arizona Board
of Regents and linked to the creation of the University System biomedical campus
in Phoenix. In the short term, Northern Arizona University will expand existing
programs in physical therapy and dental hygiene in its new north Phoenix facility
and the multi-university biomedical complex. Nursing programs will also be
expanded or created in Tucson and Yuma.

**Evolution of Distance Learning**

Distance learning is an integral part of Northern Arizona University's mission and
educational culture. Historically, this effort was realized through locally-based sites
that included classrooms and resources providing educational opportunity to rural,
place-bound, and under-represented populations throughout the state. Then, as
now, those facilities and services connect students in isolated areas with experienced
practitioners from their communities, experts from across the state, and their peers to achieve a richer learning experience. More recently, two-way ITV and Web technologies have allowed the University to dramatically expand the number and variety of program offerings in the state and globally. The University now offers 91 different programs at a distance, with 38 available entirely on the Web. Students in online programs who live or work near one of the 37 locations may choose to take some of their classes in a traditional classroom setting.

In 2003, the Arizona Board of Regents released a concept paper on Changing Directions (Appendix 4), which eliminated geographic service area boundaries and encouraged Northern Arizona University to expand program delivery, in some areas, to meet statewide needs. This policy and charge to Northern Arizona University was reaffirmed in 2005 by the Arizona Board of Regents in its plan for A Redesigned Public University System.

Northern Arizona University’s Distance Learning mission has expanded in several ways. The University is now charged to serve students from diverse backgrounds in rural and urban settings, often by using innovative methods that extend the University’s historic values and ongoing commitment to excellence in the courses, programs, and teaching it offers. With technology and creative instructional design, the University reaches a diverse and changing student population.

Growth of Sponsored Research and Public Service

Northern Arizona University has greatly expanded its externally funded projects and public service activities. Sponsored projects at the University comprise three approximately equal efforts in research, public service, and instruction. Sponsored projects expenditures grew from $18.9 million in FY 1997 to $53.6 million in FY 2006.

New or expanded research and public service centers on the Flagstaff campus include:

- The Ecological Restoration Institute
- The Center for Sustainable Environments
- The Institute for Native Americans
- The Arizona K-12 Center
- The Institute for Tribal Environmental Professionals
- Center for Microbial Genetics and Genomics (MGEN)
- The Environmental Genetics and Genomics Center (enGGen) joined the Institute for Human Development and Institute for Future Workforce Development

Statewide and private enterprises also shape Northern Arizona University’s research agenda. These include the Water University, research in bio-technology and environmental projects supported by Arizona’s Technology and Research Initiative Fund (TRIF), and the expansion of the Phoenix-based Translational Genomics
Research Institute (TGen). These research and public concern projects illustrate Northern Arizona University’s recognition of and response to statewide needs.

**Stewardship and Community Engagement**

Stewardship and engagement with communities and constituencies beyond the campus are part of the Northern Arizona University mission. Over the last decade, the University has entered into innovative collaborations and partnerships that are both socially and economically successful. These initiatives and projects illustrate that universities can provide the intellectual capital and other resources needed to guide change on a local, national, and global level.

It is important to note that Northern Arizona University is an economic force in the state—especially in northern Arizona—bringing $9 million annually into the local economy. Synergistic projects between the University and communities off campus include the conference center and hotel complex now under construction in Flagstaff (supported by city as well as University funds), the Translational Genomics Research Institute (TGen), the Merriam-Powell Center for Environmental Research (Flagstaff Arboretum Field Station), and the Rural Policy Institute.

*Building on its historic mission to educate teachers, the University has been extremely active in P-20 education issues and policies at the state level. President Haeger chaired the governor’s Teacher Quality and Support Committee and has recently been appointed to the State Board of Education. Also, President Haeger and the Dean of the College of Education serve on key bodies leading efforts to strengthen P-20 education in Arizona to:*

- Align high school, college and work expectations to meet industry-specific skill sets in high-growth, well-paying occupations
- Help students at all levels meet higher standards and prepare for formal education and workforce training
- Educate excellent teachers and leaders, particularly in the areas of math, science, and literacy
- Strengthen high school and postsecondary accountability systems to better prepare students for college and increase enrollment and retention rates
- Improve middle school and elementary school standards to ensure high school preparedness for math and science
- Ensure clear pathways for all students to obtain college degrees

**Diversity**

In December 2006, Arizona became the fastest growing state in the nation—surpassing Nevada. Arizona’s population growth mirrors national demographic changes including proportional increases in minority and elderly populations.
Northern Arizona University has a long history of commitment to serving under-represented populations—both on and off campus. The University has seen steady increases in minority enrollments and graduation rates over the last few years. The University has invested in initiatives focused on increasing representation of ethnic minorities in the University community, learning and engagement with diversity, and scholarship focused on diversity.

**In May 2006, Hispanic Outlook published the Top 100 Colleges Awarding Degrees to Hispanics and ranked NAU 15th for awarding master’s degrees and 68th for bachelor’s degrees for the 2004-2005 academic year.**

Black Issues in Higher Education published rankings for universities awarding degrees to minorities in their June 2005 issue. The following are NAU rankings:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Category and NAU Rankings</th>
</tr>
</thead>
<tbody>
<tr>
<td>5th</td>
<td>in awarding bachelor’s degrees to Native Americans</td>
</tr>
<tr>
<td>2nd</td>
<td>in bachelor’s degrees awarded to Native Americans in education</td>
</tr>
<tr>
<td>4th</td>
<td>in bachelor’s degrees awarded to Native Americans in health professions</td>
</tr>
<tr>
<td>9th</td>
<td>in bachelor’s degrees awarded to Native Americans in business/management/marketing</td>
</tr>
<tr>
<td>9th</td>
<td>in bachelor’s degrees to Hispanics in education</td>
</tr>
</tbody>
</table>

Ethnic minority students comprise 24% of the University’s current total student enrollment. Higher proportions of ethnic minorities are enrolled in Northern Arizona University’s Distance Learning programs (32%) and at its campus in Yuma (64%). The Yuma branch campus serves a largely Hispanic student population and was designated a Hispanic Serving Institution in 2007.

**Responses to the 1997 Comprehensive Review and 2002 Focused Visit**

Northern Arizona University’s last comprehensive review, the Site Visit Report (1997), identified six areas of focus or concern:

- Assessment of student learning
- General education
- Strategic planning
- Faculty support for the statewide mission
- Qualifications of faculty teaching graduate level courses in statewide programs
- Development of a culture of diversity

In 1999, Northern Arizona University submitted two progress reports, which were followed by a focus visit in 2002. The focus visit centered on two areas: assessment of student learning and strategic planning and budgeting. In its Report...
of a Focused Evaluation Visit (2002), the review team unanimously recommended that no further action was required from the North Central Association Accreditation Review Council through the remainder of the accreditation period.

The report of the 2002 focus visit review team made the following recommendations in the areas of assessment of student learning and strategic planning:

- Improve the slow rate of implementation of assessment at the graduate level
- Increase fiscal support for the Office of Academic Assessment and both department and college level assessment efforts
- Improve assessment in distance learning environments
- Institute more measurable goals for strategic planning
- Develop explicit links between planning and budgeting
- Infuse strategic planning throughout the organizational culture
- Extend planning to lower levels of the organizational structure

**INSTITUTIONAL RESPONSES AND PROGRESS**

**Assessment of Student Learning**

In the period following the last comprehensive review, Northern Arizona University responded to the 2002 focus visit recommendations by developing a stronger institutional infrastructure and organizational culture centered on assessing student learning through four interrelated strategies:

- Leadership provided by the Vice Provost for Undergraduate Studies and Director of Academic Assessment
- Faculty responsibility channeled through the University Assessment Committee
- Support provided by the Office of Academic Assessment and by the e-Learning Center’s faculty development program
- Policies specified by the degree program assessment and by program review policies

In its 2002 Focus Visit Report, Northern Arizona University identified numerous improvements in assessing student learning and in methods to use student learning outcomes to guide curriculum development and institutional practice. These include increased:

- Priority for assessment of student learning outcomes by the administration
- Allocation of resources, including more personnel, to assess student learning
- Faculty involvement in assessment of student learning
- Collaboration between student affairs and academic affairs in focusing on liberal studies and assessment
- Awareness and communication about the value and importance of assessment on campus
Additional evidence of Northern Arizona University’s recognition of the importance of assessment includes:

- Policies stated in the Assessment of Student Learning and in the Academic Program Review that require and support assessment of student learning
- Periodic academic program review that examines assessment practices and the cumulative evidence of student learning generated by the implementation of degree program assessment plans
- Curriculum change proposals increasingly guided by assessment findings
- Identification and assessment of student outcomes by faculty in academic units with consultation and support of the Office of Academic Assessment and by the University Assessment Committee
- Distance Learning degree programs that are guided by the same policies promoting assessment of student learning. Assessment plans for degree programs offered on campus, off campus, and electronically address both distance and campus students

| 91% of undergraduate and 72% of graduate programs have formal assessment plans on file with the Office of Academic Assessment |
| In the academic year 2005 – 2006, the percentage of degree programs that filed annual reports was 58% for undergraduate degrees and 47% for graduate degrees |
| In spring 2006, 17 of 19 academic units submitted reports to the Office of Academic Assessment. The goal continues to be a 100% submission rate for upcoming years (Units submit reports in either fall or spring) |
| Increased fiscal support to the Office of Academic Assessment produced a full complement of staff to increase efforts to support academic units and to produce better quality in assessment |

**General Education**

Northern Arizona University transformed its general education program over the last decade. The Liberal Studies Program, adopted in 1999, introduced a curriculum dedicated to learning goals that encompass skills, knowledge, and values to prepare citizens for life in the 21st century. Program goals focus on multidisciplinary knowledge and essential skills in reading, writing, critical thinking, quantitative reasoning, and creative thought. Knowledge and skills are developed by study of the implications of technology, diversity, and environmental issues for the world. The program introduced an interdisciplinary freshman seminar and created links between general education requirements and courses in the student’s major discipline.
The Liberal Studies Committee oversees program development and assessment. Assessment of student learning in the Liberal Studies Program is a challenging endeavor that involves the ongoing dedication of many people. Since the program’s inception, various assessment strategies have been piloted with varying success, including the use of student portfolios, sampling embedded course assessments, and standardized assessments. These efforts resulted in a triangulated approach relying on direct, indirect, and process measures of student learning at the course and program-levels. The process includes these steps:

- Ongoing audits to ensure alignment between course goals and assessment instruments
- Sampling of course embedded assessments based on rubric evaluation for skill and knowledge related outcomes
- Collegiate learning assessment, which is a longitudinal pilot study
- Capture of relevant data from surveys such as the National Survey of Student Engagement and the Graduating Senior and Alumni Survey
- Capture of relevant data from degree program assessment reports

Since the program’s implementation in 1999, faculty and academic leaders have periodically evaluated its performance. Evaluations of the program produced modifications in 2004 and again in 2006. The freshman seminar was discontinued in 2004, pending a comprehensive evaluation of the program by the Faculty Senate. In 2006, the Faculty Senate adopted the recommendations of a committee charged to review the Liberal Studies Program. The revisions updated and elaborated learning outcomes, instituted a new first year seminar, and strengthened the charge to the Liberal Studies Committee to manage, assess, and cultivate the program.

Northern Arizona University’s general education program is dynamic and will likely be modified further in coming years as faculty reconsider learning goals and review the program’s performance as evidenced by assessment results. This effort is the most important achievement of the University in the arena of general education. (Further information about the Liberal Studies Program is presented in Criterion 3 and Criterion 4 of this report.)

**Strategic Planning and Budgeting**

During the last few years, the University has faced great challenges produced by rapid growth and expansion. As such, strong strategic planning has become critical to help identify priorities and manage responses.

Strategic planning is now aligned with budgeting under the direction of the Vice President for Institutional Effectiveness. Under the president’s leadership, the Strategic Planning Council was formed with membership from across campus that includes faculty, students, staff, and administrators. The planning process...
involves campus representatives at all levels to help identify priorities and inform
direction. Priorities are then aligned with budgets, and outcomes are regularly
presented to the University community. An annual report made to the Strategic
Planning Council, to University leaders, to the University community, and to the
University’s external constituents adds to what the University reports on a regular
basis to the Arizona Board of Regents.

This organizational structure forms the core of institutional engagement to
guide action and accountability. The 2007-2012 Strategic Plan introduces metrics
for benchmarking progress towards reaching goals. The results of this Self-study
process will also help form strategies to plan for the future of the University. (See
Criterion 2 for more details about strategic planning.)

Faculty Commitment to Statewide Mission
In April 2005, the University submitted the Request for Institutional Change to
the Higher Learning Commission of the North Central Association as justification to “increase programs to respond to the needs of learners, employers,
communities and other stakeholders regardless of location.” Approval from the
Commission allowed the University to continue to better fulfill its distance
learning mission.

To say that technology has undergone dramatic change the last ten years
would be an understatement. The emergence of the Web has provided faculty and
students with greater access to resources than ever before. It has also allowed them
to engage in collaboration with others outside their local communities—expand-
ing their scope of understanding.

Students now have more options for higher education through statewide
locations and via online learning. The University has taken aggressive action by
investing in a robust technical infrastructure and staff training that have paved the
way for innovative teaching and learning across the state.

Initially, a small number of faculty experimented with ways to use Web
methods for instruction and laid the groundwork for others to follow. Ultimately,
faculty on the Flagstaff campus responded to the opportunity to develop online
courses and, subsequently, online programs. Online programs enable faculty at the
Flagstaff campus to teach and mentor students throughout the state—expanding
their reach and enhancing their understanding of needs across geographic and
cultural boundaries.

Online programs developed rapidly when the institution created an infrastruc-
ture to support faculty efforts to create online courses and programs. There has
been great progress in cultivating faculty support for the University’s distance
learning mission, but challenges remain as the University works to improve services
and technical infrastructure, and to illustrate, both to faculty and students, that
constructivist techniques used by online learning are effective.
Qualification of Part-time Faculty Teaching Graduate Level Courses in Statewide Programs

The University’s Distance Learning programs meet the standards and requirements of teaching and learning established by on-campus programs and departments. To ensure those standards, program directors, academic program leaders, and faculty evaluate all academic credentials and professional experience of part-time faculty who teach graduate level courses in Northern Arizona University Distance Learning programs.

Online programs often enhance consistency of instruction through the development of courses in a common course management platform (Blackboard Vista) that ensures rich functionality and reliability. Part-time faculty who teach in Northern Arizona University’s graduate programs offered off campus receive close supervision by regular faculty. Part-time faculty facilitate courses that, with very few exceptions, have been designed by regular faculty. Course and faculty evaluations are conducted by regular program faculty. Moreover, online programs enable more tenured and tenure-track faculty to be involved in designing distance programs and teaching distance classes as a part of their regular teaching load or on an overload basis. Indeed, most of the University’s online courses are taught by full-time faculty. In AY 2005-06, 67% of all online course sections were instructed by full-time faculty.

The e-Learning Center provides training, consultation, and mentoring for faculty using online instructional design and pedagogy. An online instructional design course provides instructional theory and practice to all instructors. The e-Learning Center also sponsors dialogues, including an annual conference, to discuss course design, program design, instructional practices, “best practices,” student learning, student needs, and other distance learning concerns. Finally, the e-Learning Center offers one-on-one help, including a telephone help desk with extended hours during peak times, for faculty involved in designing or substantively revising online courses.

Development of a Culture of Diversity

The commitment to serve under-represented populations has long been an explicit part of Northern Arizona University’s mission. In response to the 1997 review team’s recommendation, Northern Arizona University engaged in more aggressive approaches to better fulfill this goal. New strategies include creating leadership groups to guide diversity efforts. These groups include:

• Commission on Ethnic Diversity
• Institute for Native Americans
• Commission for Native American
• Advisory Council on Diversity and Equity
Northern Arizona University’s strategic plan identifies the development of an inclusive culture as a primary goal, and a necessary step to becoming a leading university serving Native Americans. Steps taken to reach this goal include the development of minority student support programs, expanded faculty development related to diversity, creation of the Applied Indigenous Studies and Ethnic Studies programs, and initiatives to recruit and retain minority faculty. The Academic Diversity and Equity Research Program provides intramural funding for scholars conducting research that has potential to contribute to attainment of the University’s strategic goals related to diversity and equity.

Recently, an Associate Vice President of Diversity and Equity was appointed to lead, facilitate, and coordinate the University’s ongoing efforts to foster a culture of diversity. Under that leadership, the newly formed Advisory Council on Diversity and Equity provides oversight to advance the University’s commitment to diversity and inclusiveness. (Please refer to Criterion 1 for more information.)

**AN INCLUSIVE SELF-STUDY PROCESS**

Northern Arizona University’s Self-study was conducted in preparation for comprehensive review for continued accreditation by the Higher Learning Commission. The process officially began in April 2005 with the formation of the Self-study Team led by the Vice Provost of Undergraduate Studies. That group formed the Self-study Steering Committee, which was convened May 2005. A workshop designed for members to better understand the criteria for accreditation provided the committee with orientation to their task.

Five task forces were charged to investigate institutional fulfillment of each of the accreditation criteria. Each task force was led by co-chairs; one was a member of the steering committee, and the other was a task force member who was not a member of the steering committee. The 46 task force members included University faculty, staff, and external constituents. Beginning their work in September, the five task forces worked over the next academic year with the support of the Self-study Team and steering committee to gather evidence regarding how well Northern Arizona University was fulfilling the criteria and to consider strategic issues to help plan the University’s future.

Each task force followed a work plan that focused attention on evidence related to each core component. An online course was developed to promote task force communication and collaboration. The course included an “evidence inventory” component that brought together a wide range of data. In May 2006, the task forces presented reports to the steering committee and Self-study Team. The reports were assessed, revised, and synthesized by the Steering Committee and Self-study Team. Feedback from participants led to adjustments in communication strategies and recommendations for design improvements to the online course.
The chairs of the Self-study Team and Steering Committee produced an initial draft of the report over the summer and presented it to the steering committee and task forces for review in early fall 2006. The collective input from these groups guided the process to produce a revised draft presented to the larger campus community for review. The steering committee oversaw the dissemination of the draft report and solicited responses from the University through multiple channels, including: a Web site; an online course open to all staff, faculty, and students; university publications; special and open invitation forums; meetings with leadership groups; and special events.

Members of the Self-study Team, Steering Committee, and Task Forces are listed below:

Self-Study Team
Karen Pugliesi, Vice Provost for Undergraduate Studies, Chair & Self-study Coordinator
Kathy Cruz-Uribe, Dean, College of Social & Behavioral Sciences (through December 2006)
Pat Haeuser, Vice President Planning and Institutional Effectiveness
MJ McMahon, Executive Vice President
Thomas Paradis, Director, Office of Academic Assessment
Karen Appleby, Special Assistant to the President and Provost
Christine Arazan, Policy Analyst, Planning and Institutional Research
Rebecca Butcher, Research Specialist, Sr.
Carla Andrews-O’Hara, Director of University Marketing

Steering Committee
Kathy Cruz-Uribe, Dean, College of Social & Behavioral Sciences, Chair of Steering Committee (through December 2006)
Anna-Marie Aldaz, Interim Executive Director, Yuma (through July 2005)
Joseph Armijo, Undergraduate Student, The W. A. Franke College of Business
Sarah Bickel, Associate Vice President, Student Affairs
David Camacho, Associate Vice President of Diversity and Equity
John Campbell, Director of Academic Computing, Information Technology Services
Cynthia Childrey, Dean & University Librarian, Cline Library
Don Carter, Director, E-Learning Center
Joe Collentine, Associate Professor, Modern Languages
Brandon Cruickshank, Chair, Chemistry & Biochemistry
Susan Fitzmaurice, Dean, College of Arts & Letters (through August 2005)
Bruce Fox, Director, Honors Program
Deborah Harris, Associate Dean, Student Life

Northern Arizona University embraced the self-study process as an opportunity to reflect on who we are, where we have been, where we are going. As a result, we have a better understanding of our strengths, challenges, and an agenda for the future.

Karen Pugliesi, Ph.D.
Vice Provost for Undergraduate Studies
Ariel Hawkins, Undergraduate Student, College of Education
Fred Hurst, Vice President, Extended Programs and Dean, Distance Learning
Stephanie Jacobson, Associate Executive for Academic & Student Affairs,
    Arizona Board of Regents
Roberta Kelly, Associate Director, Yuma
Nick Lund, Executive Director, Yuma (through July 2005)
Susanna Maxwell, Vice Provost, Academic Personnel
Betsy Putman, Director of Development, The W.A. Franke College of Business
Mary Reid, Faculty Senate Representative and Professor, Geology
Ryan Rodriguez, Vice President for Academic Affairs, Associated Students of
    Northern Arizona University (through December 2006)
Wayne Sjoberg, Faculty Athletics Representative and Professor, Psychology
Matthew Spilsbury, Undergraduate Student, Exercise Science
Diane Verkest, Director, Human Resources
Angela Willetto, Associate Professor, Sociology and Social Work

TASK FORCE MEMBERSHIP
Cindy Anderson, Associate Director, Residence Life
Carla Andrews-O’Hara, Director of University Marketing
Craig Bain, Professor, The W.A. Franke College of Business
Jeanette Baker, Associate Vice President, Enrollment Management
    & Student Affairs
Claudia Bakula, Associate University Librarian, Cline Library
Mike Beatty, Foundation Board Chair
Dorothy Briggs, Assistant Director, Educational Support
Bruce Bryant, Contract Administrator for the Bookstore
Ed Cahall, Library Specialist, Sr., Cline Library
Sharon Cardenas, Instructor, Education
Richard Carroll, Executive Director, Institute for Human Development
Cynthia Childrey, Dean and University Librarian, Cline Library
Dick Coast, Professor, Biological Sciences
Cynthia Conn, Associate Director, Office of Academic Assessment
Deidre Crawley, Program Director, Institute for Future Work Force Development
Angela DeLa Cruz, Alumni Association
Patrick Deegan, Associate Dean, Distance Learning
Gypsy Denzine, Associate Dean, College of Education
Casey Donoho, Professor, The W.A. Franke College of Business
Jennie Duran, Affirmative Action/EOO Specialist, Sr., Affirmative Action
Fred Estrella, Chief Information Technology Officer, Information Technology Services
SUMMARY

While the challenges and demands of higher education have never been greater, Northern Arizona University’s evolution through the last decade demonstrates that it has embraced opportunities for innovation and growth. The University has pursued a path that builds on traditions to engage with the global forces that are defining the world we will inhabit and our graduates will help to shape.

Higher education is facing greater public scrutiny than ever before as expectations for a more educated workforce become paramount across the country. Nationally, policy makers are calling for greater accountability as in the case of
the Secretary of Education, Margaret Spellings. A report issued by her 
Commission on the Future of Higher Education, released in September 2006, 
recommends more transparency and accountability to the public about the per-
formance of institutions of higher education. In Arizona, Governor Napolitano 
has made education and innovation her platform. And while supportive of higher 
education and innovation, she has placed new emphasis on accountability, accessi-
bility, and affordability for all three institutions of higher learning with funding 
increasingly tied to outcomes that support an educated Arizona.

Northern Arizona University is prepared to respond to these challenges 
through an infrastructure that supports intentional action, continuous improve-
ment, and experimentation to evolve and enhance the learning experience. The 
University plays a critical role in creating opportunities for learning, fostering 
discovery and creativity, educating tomorrow’s workforce, stimulating economic 
development, and advancing the interests of the region and its communities. The 
information provided in the following chapters document this important role and 
provide evidence in support of renewed accreditation.
Northern Arizona University’s mission is to provide an outstanding undergraduate residential education strengthened by research, graduate, and professional programs, and by sophisticated methods of distance delivery.

The University operates with integrity as it seeks to fulfill its mission by relying on structures, procedures, and the good will of the Arizona Board of Regents, University administrative leadership, faculty, staff, students, and external stakeholders.

**CORE COMPONENT 1A: The organization’s mission documents are clear and articulate publicly the organization’s commitments.**

The Arizona Board of Regents has adopted statements of mission, vision, values, goals, and organization priorities that together clearly and broadly define the organization’s mission. Northern Arizona University is one of three public state universities in Arizona; all three fall under the jurisdiction of this single board. The Board appoints presidents, approves vice presidential and selected other appointments, and provides leadership and stewardship of public university education in Arizona.

**THE ARIZONA BOARD OF REGENTS**

The Arizona Board of Regents consists of a total of twelve members: eleven voting and one non-voting. This includes the Governor and Superintendent of Public Instruction as ex-officio members, each serving while they hold office, and two Student Regents. Student Regents serve staggered two-year terms; the first year as a non-voting member. Except for ex-officio members and Student Regents, the term of a Regent lasts for eight years. Every two years, two Regents finish their eight-year term, and two new Regents are appointed by the Governor and confirmed by the Senate.
The Arizona Board of Regents annually reviews and revises its strategic plan, beginning with a summer retreat to initiate planning efforts that continue throughout the year in study sessions and through changes in policies and procedures. Each of the three universities incorporates the Board’s overall direction in an annual update of a five-year strategic plan that is shared with the Board and with state executive and legislative agencies.

In 2002, Arizona was a recipient of a Lumina Changing Direction grant, awarded to several states to address high level policy issues related to the challenges of rapidly increasing student demand with the decreasing state resources. The states were asked to examine how to structure financial aid and financing policies and practices to maximize participation, access, and success for all students. Arizona Changing Directions initiative grew out of this grant. As a result, the universities were encouraged to differentiate individual missions and allowed greater flexibility to establish tuition plans, develop admissions standards, and create programs and courses (Appendix 4). This effort was the beginning of a multi-year process that has sharpened the focus of the Arizona University System.

The next important step in the Arizona University System strategic planning effort was entitled University System Redesign. The Redesign was prompted by the Regents’ concern about the ability of the Arizona University System to accommodate the projected growth of student population in the coming decades. The Redesign process was an elaborate year-long effort to shape the future of higher education in Arizona and involved a wide cross-section of stakeholders in the state, including the three public universities, private universities and colleges, and community colleges. The resulting publication, A Redesigned Public University System, was released by the Board in April 2005 (Appendix 5). This publication is perhaps the clearest description of the defined Board mission and organizational priorities for Northern Arizona University (Appendix 6).
A REDESIGNED PUBLIC UNIVERSITY SYSTEM IDENTIFIES THE FOLLOWING CHARGE FROM CHANGING DIRECTIONS:

Northern Arizona University, based in Flagstaff, would, despite its name, broaden and enhance its statewide university presence by offering premier undergraduate, professional, doctoral, and master’s programs through 2+2 collaborations with community colleges and distance learning, strengthened by the quality undergraduate, graduate, and research programs on its Flagstaff campus. (page 21)

The Redesign further delineated Northern Arizona University’s role in the Arizona University System as follows:

Northern Arizona University will retain its primary focus on premier undergraduate education and will develop and broaden its research and graduate education mission as appropriate for a mature doctoral university located in northern Arizona. Based on its core campus at Flagstaff, Northern Arizona University will provide undergraduate, graduate, and professional education programs through its more than 100 campuses and sites throughout the state, delivering education statewide via telecommunications, educational centers, 2+2 collaborations with community colleges, and, potentially, freestanding four-year colleges in the future. (page 25)

During the June 2006 Board retreat, the regents focused on the next step in their vision, entitled Moving Towards an Enterprise Model. They envision the Arizona University System as moving towards an “expanding, complex, and dynamic enterprise model.” This model encourages the universities to continue to develop revenue streams beyond the funding provided by the state, and to better manage their resources in order to make the universities more self-sufficient and less reliant on legislative budget vagaries. Northern Arizona University was already well along the enterprise model pathway in managing resources (Appendix 7).

Northern Arizona University’s mission, vision, values, and goals documents define the varied internal and external constituencies the organization intends to serve. Northern Arizona University’s mission statement and other planning documents make it clear that the University serves the state's growing population. Learning-centered undergraduate, graduate, and professional education on the Flagstaff campus are enhanced by a network of statewide sites, campuses, and technology-enhanced methods, and by the applied and basic research done by faculty and students.

The University serves students first and foremost, while also recognizing other key internal and external constituencies including the Arizona Board of Regents, faculty, staff, the state and its communities, business and governmental entities, and other regional and global partners.
The University’s strategic planning process identifies its overall strategic goals, and its shorter-term planning and budget priorities (Appendix 1). During FY 2005-2006 and FY 2006-2007, the Strategic Planning Council engaged its internal and external constituents in a major revision of the University’s goals (Appendix 8). The new goals show a progression and maturation in the University’s embrace of its distinctive mission and the constituents it serves.

The University’s mission documents include a strong commitment to high academic standards that sustain and advance excellence in higher learning. Northern Arizona University is recognized as providing a distinctive undergraduate experience in Arizona.
In fall 2006, the Associated Students of Northern Arizona University (ASNAU) described the University in this manner: “Northern Arizona University has a mission that is internalized in the mindset of students that participate in the education of a Lumberjack. This mission is that the student is an individual and not a number. The administration, faculty, and staff of Northern Arizona University believe and adhere to this principle. Northern Arizona University prides itself on small class sizes; accessibility to members of administration, faculty, and staff; and individualized educational attention to the needs of students.”  Source: ASA Statewide Student Tuition Proposal, page16

The University’s mission documents stress the high expectations for student success the University has historically advocated. Northern Arizona University’s goals have always highlighted its commitment to learning by maintaining a model of providing first and second year students with access to smaller class sizes, full-time faculty, and activities that encourage student engagement leading to academic success. Approximately two-thirds of freshmen and sophomores have two or more classes taught by tenure eligible faculty and nearly all have two or more courses taught by full-time faculty.

Northern Arizona University regularly evaluates and, when appropriate, revises the mission documents. The University’s mission documents are annually evaluated by the Strategic Planning Council, the Arizona Board of Regents, state planning and budget agencies, and through participatory sessions with faculty, staff, and students. Although the format and shorter-term priorities of the mission documents have changed, the bedrock foundation is very evident. The resource room contains mission and vision documents from the last comprehensive visit (1996 mission and vision) through the most current update.

Northern Arizona University’s strategic planning process (in Criterion 2) provides the structure for revision of mission documents. The Strategic Planning Council includes leadership, faculty, staff, and student representatives. It meets every three to four weeks during the academic year, and conducts annual listening sessions to facilitate campus-wide discourse and participation. Anywhere from 20-25 sessions are facilitated by Strategic Planning Council members, and everyone is encouraged to provide feedback via session forms or an online feedback survey. Plans are published annually and distributed to faculty, staff, students, and other constituents. In this way, University priorities drive budget decisions.

The University makes the mission documents available to the public, particularly to prospective and enrolled students. The University’s mission documents are regularly distributed to all faculty members, staff, and key external constituents in a paper format. In addition, mission documents for the University and subunits
are available on many University Web sites, including the president’s Web site and the University Strategic Planning Web site. The State of Arizona Office of Planning and Budget and the Arizona Board of Regents provide Web links to the mission documents. Prospective and enrolled students have multiple access points to mission documents including the University Web site, various orientations, and contact with faculty and staff.

In addition to formal planning documents, the president updates the University and other constituencies regularly on goals and progress. The president’s Web site provides access to speeches, presentations, and other information. The president meets regularly with student organizations such as Associated Students of Northern Arizona University and their leadership.

The self-study revealed some inconsistency in Web site presentation of mission documents, which was corrected, but will remain a concern, as some Web pages are not updated as often as desired. Another discovery was some diversity in unit mission statements, although the vast majority of statements were consistent with the overall University direction. Procedures to strengthen the linkages between unit and university level strategic planning will help ensure better consistency in the future. Updates of the University Web presence have been a significant focus for the past two years with the marketing department leading the effort and working with other units to implement consistent standards across campus.

CORE COMPONENT 1B: In its mission documents, the organization recognizes the diversity of its learners, other constituencies, and the greater society it serves.

Northern Arizona University’s mission documents present the organization’s function in a multicultural society. Northern Arizona University planning documents affirm the importance of fostering diversity of learning in its educational initiatives. A culture of inclusion is present in the mission statement, in the University’s values, and in its goals.

The diverse nature of Arizona’s population is identified as an important area of concern in the Arizona Board of Regent’s Arizona University Redesign report (Appendix 5: “Challenge 2: Enhancing Diversity”). The report states that Hispanics/Latinos will account for 41% of all Arizona public high school graduates in 2014 (page 10) and calls for “ensuring that students of all racial/ethnic and economic backgrounds have high quality education at all campus locations” (page 15). In addition, the report recommends using learning-centered educational approaches to enhance the learning of all students, including students of diverse ethnic backgrounds, non-traditional students, and distance learning students (page 15).

Northern Arizona University’s strong distance learning mission originally provided a means for the University to serve rural Arizona (including reservation communities) and diverse students all over the state. The distance learning mission
has grown from a primarily rural focus to a broader statewide scope. Northern Arizona University at Yuma is a Hispanic Serving Institution, enrolling an undergraduate population that is 67% Hispanic and an overall population that is 57% Hispanic.

The University incorporates the philosophy endorsed by the American Association of Colleges and Universities’ (AAC&U) Greater Expectations report, which calls upon universities to ensure that all college aspirants receive, not just access to college, but an education of lasting value. Northern Arizona University
embraces this goal and is incorporating many of the recommended approaches detailed in the Executive Overview, which include:

- The belief that all students are capable of higher level learning
- A commitment to inclusiveness and equal access to high quality college education for all individuals and groups
- A focus on learning and the quality of student accomplishment
- A commitment to serve students with diverse learning styles, life experiences, and enrollment patterns

Northern Arizona University’s statistics provide evidence of progress affording diverse students access to higher education.

Northern Arizona University’s mission documents affirm the organization’s commitment to honor the dignity and worth of individuals. Three of the University’s five values speak directly to affirming the University’s commitment to the worth of individuals.

**DIVERSITY**  Achieve multicultural understanding as a priority of educational and civic life

**INTEGRITY**  Operate with fairness, honesty, and the highest ethical standards to sustain a community of trust

**CIVILITY**  Support a civil, engaging, and respectful campus climate
Northern Arizona University’s required codes of belief or expected behavior are congruent with its mission. Policies and programs that support these values are found throughout the University in orientations and handbooks, Human Resource hiring and evaluation processes, required training such as the Safe Working and Learning Environment (SWALE), and through structures such as the Institutional Review Board, and many commissions and committees.

The Institutional Review Board (IRB) for the Protection of Human Subjects in Research oversees all research conducted by faculty, staff, and students that involves humans as the subjects of a study. This includes:

- Research
- Research-related activities
- Training projects that have a research component

University policy prohibits discrimination against or harassment of any individual on the basis of age, race, color, religion, sex, sexual orientation, national origin, physical or mental disability, status as a Vietnam-era veteran, or other protected veteran status (such as newly separated veteran or special disabled veteran) in admission, employment, and educational plans and activities.¹

The Safe Working and Learning Environment Policy (SWALE) is mandatory training for all employees and addresses all types of discrimination and harassment prohibited by University policy. University hiring policies and procedures are consistent with a strong commitment to diversity. They prohibit discrimination in hiring based on “race, color, sex, religion, age, national origin, disability, Vietnam-era or special disabled veteran status, or sexual orientation.” All job advertisements include this language. In addition, hiring documents acknowledge, in a variety of positions, that new hires must be ready to work in a diverse environment.

The University undertakes affirmative action for minorities, women, individuals with disabilities, Vietnam-era veterans, and other protected veterans (such as newly separated veterans or special disabled veterans) as required by Executive Order 11246 as amended, the Vietnam Era Veterans Readjustment Assistance Act of 1974 as amended, and Section 503 of the Rehabilitation Act of 1973. It also provides resources for faculty and staff during hiring to achieve diversity goals.

Policies and practices are designed to ensure that search committees include representation by diverse constituencies. The Affirmative Action Office’s Web site includes a section on Faculty Search Resources that includes a Faculty Diversity Guide with ideas and contacts to promote recruiting a diverse faculty. The page offers links to Web sites and organizations organized by discipline. The office works with units to design measures that will increase the presence of qualified women and people of color in applicant pools and to ensure equal opportunity in hiring processes. Through the Pilot Program for Faculty and Academic

Professional Searches, academic unit leadership, especially college deans, have greater responsibility for diversity efforts and outcomes. The *Hire Smart* toolkit on the Human Resources Web site similarly assists supervisors in hiring practices.

**Northern Arizona University’s mission documents provide direction for the organization’s basic strategies to address diversity.** Two of the University’s goals directly address diversity, and diversity is woven through initiatives in the remaining goals. Strategies and initiatives provide direction for unit actions. Additionally identified university level planning and budget priorities are funded to ensure progress toward the goals. Hiring a higher percentage of minority faculty is one strategy to address diversity.

Beginning in 2003-2004, the president began to set aside base funding of $100,000 a year to support various diversity initiatives, including the hiring of an Ethnic Studies Program director and a faculty member who is currently assigned half-time to the program. University initiatives strengthening the international student requirement led to more than $600,000 of additional support provided to the Center for International Education and the implementation of new partnerships that have succeeded in bringing a significant number of international faculty and students to Northern Arizona University. Most recently, the Office of the President introduced the Academic Diversity and Equity Research Program. This program offers funding to scholars contributing to the University’s academic diversity and equity goals. Initiatives promoting diversity include:

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**Growth in International Student Enrollment: 1997-2006**

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<tr>
<th>Year</th>
<th>International Students Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>1997</td>
<td>342</td>
</tr>
<tr>
<td>1998</td>
<td>340</td>
</tr>
<tr>
<td>1999</td>
<td>285</td>
</tr>
<tr>
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<td>297</td>
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<tr>
<td>2001</td>
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<tr>
<td>2002</td>
<td>349</td>
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<tr>
<td>2003</td>
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<tr>
<td>2004</td>
<td>355</td>
</tr>
<tr>
<td>2005</td>
<td>364</td>
</tr>
<tr>
<td>2006</td>
<td>417</td>
</tr>
</tbody>
</table>

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Criterion 1: Mission and Integrity

- Constituting an Advisory Council on Diversity and Equity to develop and coordinate the action plans of three long-standing commissions: the Commission on the Status of Women, the Commission on Ethnic Diversity, and the Commission on Native Americans.
- Instituting a U.S. and a global diversity requirement as part of Northern Arizona University’s required undergraduate curriculum.
- Instituting and supporting activities such as the Hispanic Convocation, Black Convocation, Native American Convocation, Women of Color Conference, Arizona Association of Chicanos for Higher Education (AACHE), Commission on Ethnic Diversity, and the President’s Diversity Awards.
- Supporting clubs and organizations that celebrate diversity.
- Targeting minority recruitment via direct mail, Web, radio, print, and in schools specific to their community and culture.
- Instituting intervention programs to serve at-risk students. For example, the Successful Transitions and Academic Readiness (STAR) program ensures minority students can experience college before beginning their freshman semester and can work with peer advisors. Many other Student Affairs, Residence Life, Human Resources, and academic departments’ diversity programs are detailed in the Report on Diversity and Equity 2005.

Northern Arizona University recently strengthened partnerships with Chinese universities that include the exchange of faculty members to teach English and Chinese language, development of Web-based and Web-enhanced educational programs for students, further development of Chinese language and culture programs at Northern Arizona University, and development of cooperative research activities. Partnerships have brought 31 Chinese students and 17 faculty to Northern Arizona University through AY 2006-2007.

**Chinese Partners:**
Anhui University of Technology
Beihua University
Central South Forestry University
Chang’ an University
Chengdu University
Chengdu University of Information Technology
China Three Georges University
Chongqing Normal University
Chongqing University
Chongqing University of Posts and Telecommunications
Communication University of China
East China Jiaotong University
Gansu Agriculture University
Gaungdong University of Business Studies
Guangxi Teacher Education University
Hubei University
Inner Mongolia Polytechnic University
Jiangsu University
Jinan University
Lanzhou University of Technology
Liaoning University
Liaoning University of Petroleum and Chemical Technology
Nanchang Institute of Aeronautical Technology
Nanjing Normal University
Nanjing University of Information Science and Technology
North University of China
Qingdao University
Qufu Normal University
Shanghai Normal University
Shandong University of Weihai
Shenyang University
Soochow University
Wuhan University of Technology
Xi’an International Studies University
Xi’an Shiyou University
Xi’an University of Science and Technology
Xihua University
Yunnan University

Over the past ten years, progress has been made toward achieving the University’s goal of being the nation’s leading university serving Native Americans:

- The Applied Indigenous Studies program, designed with Native American tribes, to educate students and contribute to indigenous communities.

- Northern Arizona University ranks fifth in the nation for graduating Native Americans with bachelor’s degrees, according to Black Issues in Higher Education magazine.

- The Fort McDowell Yavapai Nation awarded Northern Arizona University nearly $11,500 to support the University’s Nizhoni Academy, a college preparatory program for Native American students.

- Greek Life helped Native American students establish a Native American fraternity, Beta Sigma Epsilon, making Northern Arizona University one of two universities to sponsor a fraternity of this kind.
Criterion 1: Mission and Integrity

- The University is working to find partners to build a Native American Center.
- The University is strengthening connections and agreements with Native American focused institutions.

**CORE COMPONENT 1C: Understanding of and support for the mission pervade the organization.**

The Board, administration, faculty, staff, students, and the community understand and support the University’s mission. In FY 2004-2005, the Arizona University Redesign process provided an opportunity for Northern Arizona University to reaffirm the key elements of its mission: residential undergraduate education, focused research, graduate and professional programs, and distance learning.

<table>
<thead>
<tr>
<th>In the fall of 2003 and 2004, over 34 sessions were led by members of the Strategic Planning Council with students, faculty, and staff across campus to identify the strategic priorities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>In the spring 2006, 21 sessions were led by members of the Strategic Planning Council with students, faculty, and staff to obtain feedback on the Strategic Planning Council’s proposed undergraduate goal.</td>
</tr>
<tr>
<td>In the spring of 2007, feedback sessions included taking the proposed Strategic Plan revisions to “natural” communities, such as departments, student groups, and interest groups; involvement of external constituents was expanded through electronic bulletin boards.</td>
</tr>
</tbody>
</table>

Faculty, staff, and community members were actively involved in this elaborate process. Northern Arizona University representatives served on all the Redesign committees and stakeholder groups. Several of the stakeholder groups were convened by University representatives. Forums and discussions held at the University were well attended with engaged discussions. The outcome of the redesign reaffirmed Northern Arizona University’s role as one of three research universities in Arizona, and at the same time, further articulated the University’s future directions for serving the state.

More recent affirmation of the mission was established during the Self-study process. The Self-study Steering Committee and Task Force chairs, along with other groups, such as Academic Professionals, engaged in an exercise that asked about the University’s cultural values or shared beliefs, institutional policies or practices, and historical traditions or features. Widespread consensus emerged concerning the key values of Northern Arizona University. Individuals and groups
affirmed the University’s commitment to the undergraduate experience, the statewide mission, the University’s research that is often embedded in the issues of Colorado plateau region, a special connection to Native American communities, and a historical strength in educating teachers and other professionals. There was little disagreement that these concepts are important to the University, although there continues to be some divergence about the relative importance of each factor and the needed resource investments.

In an ongoing effort to develop understanding about the mission, and to identify the planning-budget priorities that best help the University succeed in accomplishing its mission, the Strategic Planning Council annually engages University communities in discussions concerning the mission and planning documents.

In addition to these participatory sessions, the president involves faculty, staff, students, and the community in numerous activities where they are invited to provide feedback about the University’s mission and action plans. The president conducts leadership retreats several times a year to discuss the University’s planning priorities.

The Arizona Board of Regents reviews reports each year related to mission achievement. For example, the “Regent’s Accountability Measures” incorporate information measuring progress to fulfill the University’s mission, such as identifying the number of tenured/tenure-track faculty teaching undergraduate courses, the number of undergraduate students involved in capstone experiences and research with faculty, examples of applied research in the graduate programs, and the number of credit hours taken by students in locations throughout Arizona.

Students demonstrate their understanding of the mission through the many surveys they complete. Students express very high satisfaction levels with the University and especially with their interactions with faculty. They value the close interaction with faculty. Statewide students score as high as, or higher than, Flagstaff students on these measures. Other surveys, such as the National Survey of Student Engagement (NSSE), provide evidence of student commitment to diversity and involvement with diverse communities. The surveys are available on the Planning and Institutional Research Web site and are available in the resource room.

**The organization’s strategic decisions are mission-driven.** The University identifies priorities for funding and action through the annual Arizona Board of Regents, State of Arizona, and Northern Arizona University planning and budget processes. These priorities align with the mission and goals. Evidence of the alignment and focus can be discerned by reviewing the University’s annual budget request. For example, a sample of the most recent budget request highlighted three strategies that flow from its mission.
The following three strategies would allow the University to respond to key issues facing the state of Arizona:

- The first strategy would allow Northern Arizona University to offer health profession programs that are unavailable from an Arizona public university. New programs are likely to include biomedical science, clinical laboratory science, occupational therapy, physician’s assistant, and health information management. (FY 2008 Budget Request = $4 million)

- To address the demand for Arizona certified teachers in the areas of math and science, Northern Arizona University requests funding of its math and science initiative. (FY 2008 Budget Request = $1 million)

- Water and forest health are two key natural resource issues that demand attention in Arizona. Northern Arizona University requests continuation of $500,000 for water institute funding and $1.5 million for the nationally recognized forest and watershed research and service provided by the Ecological Restoration Institute. (FY 2008 Budget Request = $1.5 million in new funding; $.5 million continuation funding).

Source: Northern Arizona University FY 2008 Budget Request (in resource room) and FY 2008 – FY 2012 Five Year Strategic Plan.

Northern Arizona University’s planning and budgeting priorities flow from and support the mission. Beginning in 2002-2003, the University began to forge strong links between planning and budgeting. In his position as provost, Dr. John D. Haeger initiated a new Strategic Planning Council and process. On becoming president, he continued in his role as chair of the Strategic Planning Council. In 2004-05, he formally linked the University budget to the planning office by creating an Associate Vice President for Planning, Budget, and Institutional Research. In fall 2006, he further strengthened the planning, institutional research, and budget linkage by creating a Vice President for Institutional Effectiveness position.

The University engages in an annual planning-budget process. It begins with a letter from the president to the vice presidents requesting annual macro budget plans and updated divisional strategic plans. Macro budget priorities must be aligned to the University’s planning priorities and mission. Capital planning follows an Arizona Board of Regents mandated schedule, but is coordinated with the University’s planning and budget process. Workforce planning for staff salary changes and reclassifications are also aligned with the strategic planning cycle.

Creation and revisions of the strategic and capital budget plans are developed through discussion among overlapping groups of University leaders in various governance and University committees. Key participants include the president,
provost and vice presidents, the President’s Cabinet, the Strategic Planning Council, the Council of Deans, the Space Planning Committee, the Capital Assets department, the Faculty Senate, staff governance groups, the Student Senate, and other committees and individuals as appropriate. These structures, along with leadership retreats, and other planning mechanisms (the strategic planning process, capital planning processes, joint university-community task forces, etc.) provide direction, gather feedback, and promote participatory planning and good communication.

The process culminates in a retreat where major leadership groups (President’s Cabinet, the Council of Deans, and Academic Chairs Council) discuss and prioritize the budget requests submitted by divisional vice presidents. The priorities identified by this leadership group, in conjunction with feedback from the campus community, guide the president’s budget decisions for the next year. The planning process is described in greater detail in Criterion 2.

A summary of five years of funding commitments related to the University mission documents follows:

**UNIVERSITY BUDGET ALLOCATIONS**

**UNIVERSITY PLANNING-BUDGET PRIORITIES**

University Priorities Identified in FY 2002-2003

- Increase enrollment and retention
- Create a distinctive Northern Arizona University identity and convey this identity through image standards throughout the University
- Increase and diversify revenue streams
- Develop processes that routinely link strategic planning and budgeting
- Develop a multi-year salary plan to achieve equity with peers in faculty and staff salaries

<table>
<thead>
<tr>
<th>University Priorities Funded for FY 2003-2004</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty/Staff Compensation</td>
<td>$3,440,000</td>
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<tr>
<td>Solar Sustainability</td>
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</tr>
<tr>
<td>(Final Year of Funding for Administrative System Software)</td>
<td>$1,100,000</td>
</tr>
<tr>
<td>Enrollment and Retention:</td>
<td></td>
</tr>
<tr>
<td>Gateway Center Advisors</td>
<td>$250,000</td>
</tr>
<tr>
<td>Statewide Investment in Enrollment</td>
<td>$200,000</td>
</tr>
<tr>
<td>Diversity Initiatives</td>
<td>$150,000</td>
</tr>
<tr>
<td>Distinctive Identity</td>
<td></td>
</tr>
<tr>
<td>Marketing (one-time)</td>
<td>$300,000</td>
</tr>
</tbody>
</table>
University Priorities Identified in 2003-2004

• Improving faculty and staff compensation
• Developing and executing a distinctive Northern Arizona University identity
• Increasing enrollment and retention
• Increasing and diversifying revenue streams
• Revitalizing buildings and infrastructure
• Fostering a culture of diversity
• Improving campus climate and morale
• Implementing academic restructuring

University Priorities funded for FY 2004-2005

<table>
<thead>
<tr>
<th>Faculty/Staff Compensation</th>
<th>$4,600,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Distinctive Identity</td>
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<tr>
<td>Internal communications</td>
<td>$150,000</td>
</tr>
<tr>
<td>Marketing (Base)</td>
<td>$300,000</td>
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<tr>
<td>Increase enrollment and retention</td>
<td></td>
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<tr>
<td>Resources to enhance student activities at Flagstaff</td>
<td>$250,000</td>
</tr>
<tr>
<td>Second phase Gateway Center Advisors</td>
<td>$100,000</td>
</tr>
<tr>
<td>Enrollment Management initiatives</td>
<td>$700,000</td>
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<td>Nursing Expansion (Funded by State of Arizona)</td>
<td>$1,000,000</td>
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<tr>
<td>International Recruiting</td>
<td>$157,000</td>
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<tr>
<td>Diversity Initiatives</td>
<td>$100,000</td>
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<tr>
<td>Improve Campus Climate</td>
<td></td>
</tr>
<tr>
<td>Training Office in Human Resources</td>
<td>$51,000</td>
</tr>
<tr>
<td>Revitalize Buildings and Infrastructure</td>
<td>See Below</td>
</tr>
</tbody>
</table>

Infrastructure Accomplishments

• The School of Communication building was completed in time for the AY 2004–2005
• The Anthropology Building was demolished to make room for the new The W.A. Franke College of Business
• Phase II of the swing space was completed to house the Department of Anthropology and provide engineering instruction facilities

University Priorities Identified in 2004-2005

• Faculty and staff compensation
• Academic restructuring
• Buildings/grounds and infrastructure
• Northern Arizona University identity
• Diversify revenue sources
• Culture of diversity and community
University Priorities funded for FY 2005-2006

<table>
<thead>
<tr>
<th>Priority Area</th>
<th>Funding Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty/Staff Compensation</td>
<td></td>
</tr>
<tr>
<td>Faculty and staff salary increases</td>
<td>$6,000,000</td>
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<tr>
<td>Distinctive Identity</td>
<td></td>
</tr>
<tr>
<td>Marketing</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Increase enrollment and retention</td>
<td></td>
</tr>
<tr>
<td>Site expansion in urban counties (one-time)</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>International Recruiting (one-time)</td>
<td>$200,000</td>
</tr>
<tr>
<td>Undergraduate Program Support</td>
<td></td>
</tr>
<tr>
<td>Assessment Office</td>
<td>$90,000</td>
</tr>
<tr>
<td>Undergraduate Programming (NCATE, Advising)</td>
<td>$250,000</td>
</tr>
<tr>
<td>Diversity Initiatives</td>
<td>$100,000</td>
</tr>
<tr>
<td>Improve Campus Infrastructure</td>
<td>$250,000</td>
</tr>
<tr>
<td>Compliance and operations</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Information Technology (VISTA, ADVANTAGE, Oracle-PeopleSoft, Student IT Fee Projects (partial one-time))</td>
<td></td>
</tr>
<tr>
<td>Student Support – Health Center</td>
<td></td>
</tr>
<tr>
<td>Revitalize Buildings and Infrastructure – (one-time) See Below</td>
<td>$3,000,000</td>
</tr>
</tbody>
</table>

Infrastructure Accomplishments
- Completion of The W.A. Franke College of Business
- Renovation of the Engineering and Technology Building

University Priorities Identified in 2005-2006
- Faculty and staff compensation
- Buildings/grounds and infrastructure
- Educating Arizona at Flagstaff and statewide
- Diversity

University Priorities funded for FY 2006-2007

<table>
<thead>
<tr>
<th>Priority Area</th>
<th>Funding Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty/Staff Compensation</td>
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<tr>
<td>Faculty and staff salary increases</td>
<td>$7,500,000</td>
</tr>
<tr>
<td>Educating Arizona at Flagstaff and Statewide</td>
<td></td>
</tr>
<tr>
<td>Site expansion in urban counties</td>
<td>$1,200,000</td>
</tr>
<tr>
<td>International Recruiting</td>
<td>$400,000</td>
</tr>
<tr>
<td>Undergraduate Focus Initiatives (Assessment, NCATE, Undergraduate Retention)</td>
<td>$380,000</td>
</tr>
<tr>
<td>Diversity Initiatives</td>
<td>$100,000</td>
</tr>
<tr>
<td>Revitalize Campus Infrastructure</td>
<td></td>
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<tr>
<td>Compliance and operation</td>
<td>$400,000</td>
</tr>
<tr>
<td>Information Technology (Oracle-PeopleSoft Sustainability)</td>
<td>$480,000</td>
</tr>
<tr>
<td>Revitalize Buildings and Infrastructure (See below)</td>
<td>$8,000,000</td>
</tr>
</tbody>
</table>
Infrastructure Accomplishments

- New laboratory building completed
- Applied Research and Development facility completed
- New parking garage completed
- Yuma research building started
- Conference center complex started

The goals of the University’s administrative and academic subunits are congruent with the organization’s mission. In 2004-2005, the president and the Strategic Planning Council launched a formal effort to cascade University strategic planning deeper into the organization.

All vice presidential areas were asked to develop divisional plans that year, and required their units to develop unit plans the following year. Units and vice presidents were asked to explicitly document how the divisional and unit-level plans supported the University plan. Divisions also provide information on plan accomplishments. Future enhancements will include reporting on key success measures that can be used to measure institutional effectiveness. Vice presidents were provided guidelines for developing the division and unit action plans.

CORE COMPONENT 1D: The organization’s governance and administrative structures promote effective leadership and support collaborative processes that enable the organization to fulfill its mission.

Arizona Board of Regents policies and practices document the board’s focus on Northern Arizona University’s mission. The Arizona Board of Regents meets seven times a year for two-to-three days, with committees meeting in periods between meetings. Electronic communication, telephone calls, and teleconferences among Board members, central staff, and presidents occur frequently (weekly and even daily when needed). The Board’s policies, practices, agendas, minutes, and reports to the public are well documented on their Web site. (The resource room contains the Web link and samples of these documents.)

The Board has developed a set of standing committees to provide oversight and direction for the three universities. Each committee is chaired by a Board member and staffed by a member of the Board’s central staff. Some committees are comprised of a subset of the Board with delegated responsibilities, while others function as a committee of the whole. Committee agendas and minutes are not published on the Web site, but example agendas are provided in the resource room. Typically, committees discuss, in detail, action items that are on the full agenda. The committees are a key tool for determining how successfully universities are fulfilling their missions.
Current Arizona Board of Regents Committees

- Audit
- Capital
- Finance (previous: Ad Hoc Finance)
- Human Resources
- Information Technology/Arizona Universities Network (IT/AZUN)
- Learning-centered Education (LCE)
- Programs
- Public Awareness
- Resources
- Strategic Planning
- Regents Award Selection Committee
- Legislative Affairs

Preparation for each Board meeting begins weeks in advance of the meeting. Board central staff organize tri-university teleconferences with affinity groups of top university officials to develop agendas and to provide required information. The acronyms for these regularly scheduled teleconferences can be quite amusing: the COP—Council of Presidents; SAP—Senior Associate to the Presidents; CAO—Chief Academic Officers; GAG—Governmental Affairs Group, etc. Standing committees meet before the Board meets or during the two-to-three day meetings. Board members receive individual briefings by central staff prior to each meeting and the universities respond to any questions or provide additional information, as needed. Presidents regularly meet in executive session with regents “to review assignments” allowing the regents and presidents time to discuss directions and accountability.

The Arizona Board of Regents enables the organization’s chief administrative personnel to exercise effective leadership. The Board appoints a president and approves his top administrative personnel, enabling them to exercise leadership for the University.

*The Changing Directions* initiative is a classic example of how the Board gives the Arizona University System presidents the mandate to exercise effective leadership. As described succinctly in the document, *A Redesigned Public University System*, an important concern of *Changing Directions* was to “revise the policy framework to enable the university presidents to reshape their programs to better meet the needs of Arizona’s citizens and communities. Having hired exceptional individuals to lead the state’s three universities, the Regents wanted to give these leaders the leverage necessary to manage the institutions as effectively as possible” (page 20). The result is that each university, including Northern Arizona University, now has “more flexibility to establish tuition plans, admission standards, and programs and courses to match its mission.”
Another critical example of administrative leadership at Northern Arizona University is the academic restructuring process that took place during the AY 2003-2004. (Documentation of this major initiative is found in the resource room.) Prior to the restructuring, the University had ten colleges and schools of widely varying scope and size (ranging from 16 to 209 faculty). In addition, the University had an array of nearly 40 centers and institutes, many functioning as relatively autonomous entities. The president and provost convened a Blue Ribbon Task Force composed of faculty and academic leaders, and charged it with “examining the current structure of all academic units and recommending changes that will result in an academic organization that promotes undergraduate education, fosters interdisciplinary cooperation, connects teaching and research, and improves administrative efficiency” (Provost’s announcement to campus, November 25, 2003). The final plan, approved by the Arizona Board of Regents, resulted in a streamlined academic structure with six major academic units (five colleges and one consortium of professional schools). Most of the centers and institutes are now administratively contained within these units. In 2007, the University’s leadership initiated another phase of reorganization to strengthen the University’s capacity to substantially expand its programming in the health professions and sciences. As a result, a new college consolidating health and nursing programs was created in place of the consortium.

Other examples of the chief administrative personnel’s ability to provide leadership are documented in the next section of this report. A key factor allowing the University to move forward with agendas—such as expanding access, increasing enrollment and retention, increasing numbers of minorities earning degrees, updating physical facilities, and expanding health professions programs—is the ability of higher education leaders, working with their communities, to take advantage of opportunities while strengthening the core mission.

The distribution of responsibilities as defined in governance structures, processes, and activities is understood and is implemented through delegated authority. The Arizona Board of Regents delegates responsibility to the president of the University; the president, in turn, delegates authority through a clear organizational structure to the vice presidents, provost, and various levels of the administrative hierarchy. Administrators and unit heads meet at regular intervals to share information and to resolve educational, faculty, staff, and capital issues with consistency. A current organizational chart for the University is appended to this report (Appendix 9).

The Northern Arizona University Faculty Senate serves as the officially constituted body of the faculty members. The faculty members derive their authority and responsibility by delegation from the Board’s policy. The role of the faculty members in the shared governance of the University is stated in the Preamble to the Constitution of the Faculty of Northern Arizona University.
“The Constitution of the Faculty of Northern Arizona University provides for institutional governance as a shared process with faculty predominance in policy decisions relating to curricula, to student admissions and academic standards, and to the faculty personnel process, with active faculty participation in many other areas of institutional policy and operations, including student services, University facilities, and administration where these elements affect the academic program.”

Members are elected for three-year terms from each of the colleges (or similar academic unit) according to guidelines described in the Faculty Constitution and Bylaws. The Faculty Senate Web site states that it exercises responsibility in the areas of “curriculum, academic climate, long-range planning, budgetary planning, University organization and administration, and general faculty welfare.” The president of the University, the provost, and the president of the Associated Students of Northern Arizona University all serve as non-voting, ex-officio members of the Senate, and regularly attend Senate meetings. The Faculty Senate works through a number of institutional committees, such as Assessment, Academic Standards, Liberal Studies, and University Curriculum.

The Associated Students of Northern Arizona University serves Northern Arizona University as the representative student voice at the campus, local, state, and national levels. It informs students about relevant living, social, and academic issues within the University. It also seeks student input and student involvement.

The mission of Northern Arizona University’s Classified Staff Advisory Council is to advise and make recommendations to University administrators on existing and proposed policies, procedures, and programs that affect, or are of particular interest to, classified staff. Similarly, the mission of the Service Professional Advisory Council is to advocate policies, procedures, and other issues of concern to service professionals, to university administrators.

The president seeks input from campus representatives through various mechanisms, such as forums, committees, councils, and informal dialogues with faculty, staff, and students. A key senior leadership group that provides advice to the president is the President’s Cabinet, which includes all vice presidents as well as other academic, financial, and facilities representatives, and includes the Faculty Senate.

Other important groups that meet and work together on a regular basis include:

- Vice Presidents
- Provost, Vice Provosts, and Deans
- Council of Deans
- Assistant and Associate Deans’ Roundtable
- Academic Chairs’ Council
- Strategic Planning Council
The Strategic Planning Council, chaired by the president, includes representatives and students from across the University. A working group has responsibility for updating the strategic plan and leading the University in discussions to identify top-level priorities. The priorities are discussed first with the President’s Cabinet and then more broadly throughout the campus.

Faculty members and other academic leaders share responsibility for the coherence of curricula and the integrity of academic processes. The Faculty Senate plays an important role in the shared governance process at Northern Arizona University, with particular responsibility for curriculum and other academic areas. Membership in the Senate is open to all faculty members as described in the Constitution and By-Laws.

Key institutional committees composed of academic leaders and faculty members are charged with recommending the development, modification, and strengthening of curriculum and academic programs, as well as policies relating to academic issues such as grade appeals.

Key Curricular and Academic Process Committees:
- University Assessment Committee
- Academic Standards Committee
- Conditions of Faculty Service (COFS) Rewrite Committee
- Intramural Grants Committee
- Liberal Studies Committee
- Scholarship Committee
- University Curriculum Committee
- University Graduate Committee

The curriculum review process is clearly delineated. All curricular changes and revisions originate with the faculty members in each department or academic unit. Once approved at the unit level (typically a department, school, or program), the proposed changes are then considered by an elected faculty committee at the college level (in departmentalized units). The proposals and recommendations then go to either the University Curriculum Committee (for undergraduate curricula) or the University Graduate Committee (for graduate curricula). If the proposal involves a liberal studies course, it is also reviewed by the Liberal Studies Committee. Courses that are proposed to meet the University’s diversity requirement are considered by the Diversity Requirement Subcommittee of the University Curriculum Committee. Ultimate approval at the university level comes from the Provost and Vice President of Academic Affairs. Proposals for new degrees must also be approved by the Arizona Board of Regents.

In addition to working through institutional committees, the Faculty Senate forms ad hoc committees as needed to address particular issues. A recent example
is the Liberal Studies Review Committee, formed to study and make recommendations on changes to the University’s Liberal Studies Program.

Effective communication facilitates governance processes and activities. Northern Arizona University’s governance and advisory organizations are active and provide information and service to constituents. Web sites for different organizations and units provide an excellent overview of activities and responsibilities. For example, the Office of the Associate Provost for Academic Administration maintains Web pages with University Curriculum Committee information. This includes meeting dates, curriculum forums, meeting minutes, and electronic copies of all proposed curricular changes, as well as policies and procedures. The Graduate College maintains a Web site with information about the University Graduate Committee. The Office of the Vice Provost for Undergraduate Studies Web site provides information about the Liberal Studies Committee. An effort is underway to create a comprehensive curriculum Web site that consolidates information for faculty and students.

A weekly newsletter, InsideNAU, provides employees with timely information and is available in both electronic and print formats. Web sites and electronic communications provide ongoing updates and forums for discussion. Key examples include the redesign discussion groups and academic restructuring.

Other regular methods of communication include University forums and retreats at all levels of the institution, the annual speaker series, and attendance at committees, events, and celebrations.

The organization evaluates its structures and processes regularly and strengthens them as needed. Regular evaluation and reorganizing of institutional structures and processes are strengths of Northern Arizona University. Thriving in the ever-challenging world of higher education requires constant vigilance and the ability to make necessary changes. Every division of the University has undergone transformation in the past five years. In some cases, the changes were relatively modest, and in other cases they were extremely significant.

One of the first restructures, directed by the current president, focused on enrollment management. Declining enrollments, poor retention statistics, and the impression of unfriendly, bureaucratic student services led to creating the division of Enrollment Management and Student Affairs. Reorganization also occurred in the Distance Learning division as educational sites were carefully evaluated.
One key area for the health of the University is Enrollment Management and Student Affairs, a division created after eight years of declining on-campus enrollment. Under the leadership of a new vice president, the division has been instrumental in instituting a number of changes in recruitment, admissions, student affairs and residence life. A few changes of note include:

- Increasing the salaries of the staff that process admission applications with the goal of improving efficiency and quality
- Changing the way financial aid is awarded to reduce the first year discount rate from 71.3% to 47.7%
- Implementing a master plan to upgrade and replace aging campus housing to better meet the expectations of the current student population. In fall 2006, completed construction and opened McKay Village, an apartment-style housing complex for more than 400 students
- Hiring an Executive Director of Enrollment Services to achieve collaboration and cooperation among the offices of Undergraduate Admissions, Financial Aid, New Student Programs, and Registrar
- Implementing an enrollment deposit for students accepting offers of admission in order to ensure class availability
- Reorganizing the campus visit program to include opportunities for students to meet with faculty
- Increasing the number of Open House programs for prospective students and their families from 4 to 12
- Relocating the Multicultural Student Center, Native American Student Services, and Student Support Services to a more prominent location in the University Union, resulting in an increased number of students being served by these units
- Developing partnerships with academic areas to provide learning communities in the residence halls to help first-year students make connections with students with like interests
- Increasing the participation of staff from student service areas in recruitment activities (yield receptions, Open Houses, Orientation)
- Developing partnerships with more than 250 departments/individuals/units on and off campus to get them actively involved in recruitment and retention activities
- Engaging all units within Enrollment Management and Student Affairs in the strategic planning process, ensuring that division goals supported University goals and had measurable objectives
- Establishing mandatory meal plans for first year students living on campus as a way of encouraging students to stay on campus and establish those connections that lead to retention
The Blue Ribbon Task Force on Restructuring led to a significant evaluation of the academic structure of the University during the AY 2003-2004, with recommended changes implemented shortly thereafter. (Documents associated with this restructuring are in the resource room.)

The University has established several task forces in recent years to evaluate processes and structures. In addition to the Blue Ribbon Task Force, some of these include the Task Force on the Freshman Year, Northern Arizona’s Task Force on Higher Education, Research and Graduate Education Task Force, Advising and Career Planning Task Force, and the Affirmative Action and Fair Practice Task Force. The work of each of these task forces has been incorporated into the structures and processes of the University. Additionally, the University has hired consultants to evaluate and make recommendations for changes.

Vice presidential areas routinely evaluate the situations in their particular units and make adjustments and changes as necessary. Some major internal re-organizations that have taken place since the last review have been in the areas of marketing, public affairs, planning and budget, administration and finance, advancement, enrollment management and student affairs, and information technology.

CORE COMPONENT 1E: The organization upholds and protects its integrity.

The Arizona Board of Regents exercises its responsibility to the public to ensure that the organization operates legally, responsibly, and with fiscal honesty. The Board explicitly oversees legal and fiscal issues through committees, audits, financial reports, and other reporting requirements. A sample of major reports is displayed on the Board Web site.

BUSINESS/FINANCE AND CAPITAL RESOURCES

- FY 2005 Financial Ratio Analysis
- Budgets
  - All Funds Operating Budget
  - State Expenditure Authority
- Capital
  - Arizona Board of Regents Construction Cost Control and Professional Fee Guidelines
  - Arizona University System Capital Development Process
  - Arizona State University Capital Improvement Plan
  - Northern Arizona University Capital Development Plan
  - University of Arizona Capital Improvement Plan
- Technology and Research Initiative Fund (TRIF)
  - FY 2005 Annual Report
  - FY 2007-2011 TRIF Project Brochures
  - Governance/Accountability Reports
In recent years, the Board has requested that universities increase financial control and internal audit staff to pro-actively strengthen these capacities. Attorneys of each university and internal auditors have reporting responsibilities to the Board. In the last three years, the Board has also added committees focused on capital projects, finance, and human resources.

**INITIAL CHARGE TO ARIZONA BOARD OF REGENTS AD HOC FINANCE COMMITTEE INCLUDE:**

- Reviewing existing financial systems, controls, and reporting of the universities
- Reviewing universities’ annual audited financial reports and financial ratio analysis
- Reviewing universities’ annual Debt Capacity Reports, including sources of funding for debt service
- Reviewing systems and models used by universities for financial forecasting
- Identifying financial systems, controls, or reporting that may need improvement or implementation
- Recommending systems, controls, and/or reporting to be modified, adopted, and/or implemented by the universities to facilitate ongoing oversight of university financial matters by the Arizona Board of Regents
- Reviewing and streamlining as necessary Board procedures for reviewing and approving university projects requiring expenditures of financial resources

*Source: Board Meeting March 9-10, 2006, Item #8, Executive Summary*
Northern Arizona University understands and abides by local, state, and federal laws, and regulations applicable to it (or bylaws and regulations established by federally recognized sovereign entities). The University makes every effort to ensure compliance with all applicable laws and regulations. To ensure that end, users have the tools they need to monitor financial activities and budgets, Northern Arizona University has established and well-documented policies and procedures, regular communications with its business and other fiscal managers, proper segregation of duties, and adequate internal financial reporting.

The University monitors compliance through an internal auditing process that reviews accounting, financial, and other operations. This office maintains a comprehensive Web site to explain its mission, process, and internal controls, and to summarize common audit findings. The office follows the philosophy and guidelines of the Institute of Internal Auditors as stated in the Institute’s Standards for the Professional Practice of Internal Auditing, Code of Ethics, and Statement of Responsibilities of Internal Auditing. The office coordinates its internal audit efforts with other relevant entities, including the Arizona Board of Regents audit staff and the Arizona Auditor General’s Office.

Financial transactions fall under the purview of the Comptroller’s Office, which processes financial transactions and provides an all-inclusive financial management system in compliance with applicable regulations and professional standards. The University’s annual financial statements are prepared by the University Comptroller and are audited annually by the Office of the Auditor General for the State of Arizona. The reports are prepared on a July 1 to June 30 fiscal year schedule and are available to the public via the comptroller’s Web site.

The University has implemented recommendations of the Sarbanes-Oxley Act and follows best practices of the National Association of College and University Business Officers. Those recommendations include rotation of senior audit staff, an annual meeting of the Arizona Board of Regents audit committee with audit managers, annual certification of financial reports by the University president, and implementation of a central reporting mechanism to report financial irregularities.

As a result of a tri-university study on how the universities could improve internal controls and the reliability of financial reporting, the University hired an Assistant Comptroller for Financial Controls. The responsibilities of the position include implementation of improvements in financial controls, enhancement of the reliability of financial systems, and making recommendations to improve the effectiveness and efficiency of financial operations. The services provided through this position are separate from those of the Internal Audit department.

The University has a centralized Procurement Office that oversees all purchasing and property control functions. The University follows state procurement code and established laws and regulations for the bidding and procurement of goods and services.
The University invests in training for its employees to comply with local, federal, and state laws. The Comptroller’s Office provides financial systems training, travel training, certification, and purchasing card training to appropriate employees. Mandatory Annual Business Manager Certification for all business managers and fiscal operations managers is presently being considered for implementation.

The University has professional legal counsel in place to assist in ensuring that the institution operates lawfully. Northern Arizona University recently hired in-house legal counsel. Legal counsel is part of the President’s Cabinet and works closely with the Arizona Board of Regents and other entities in the University community to ensure compliance with laws and regulations. Prior to the hiring of an in-house legal counsel, the University had a long-standing contract for services with a local law firm.

The Northern Arizona University Foundation operates with sound fiscal integrity in support of the University mission and goals. The activities of the Foundation are reported in the University’s financial report and help express the University’s strategic planning directions and priorities. An important feature of this joint venture is the connection between University strategic planning and Foundation activities. The Foundation looks to the University to articulate major priorities, explain why particular directions are taken, and determine how priorities fit into the University’s strategic plan.

Northern Arizona University also engages in efforts to ensure business continuity and disaster recovery in the event of a disruption of its core business processes. The University’s Business Continuity and Disaster Recovery Plan was updated in October of 2005. This Plan includes a comprehensive Business Assessment Survey of all Northern Arizona University colleges and departments.

Additionally, the University’s National Incident Management System Report complies with the Department of Homeland Security, which identified the National Incident Management System (NIMS) as the national model for incident management and response. It was critical in guiding the University through an outbreak of a norovirus in summer 2005.

On July 21, Northern Arizona University reported an outbreak of what appeared to be a norovirus among 59 teens and four camp staff in a wrestling camp housed in Gabaldon Hall. Lab results indicated the cause to be norovirus. Since July 24, the number of incidents being reported dropped significantly, largely due to diligent efforts to contain the outbreak. The number of suspected cases peaked at about 115.

How the University managed the outbreak
When the outbreak was first reported, the University and the Coconino County Health Department worked closely with all the camps to manage
the outbreak. The Coconino County Health Department instructed camp directors to separate sick campers from well campers. The health department also instructed that all camp participants in Gabaldon Hall be separated from other campers on campus.

Northern Arizona University cleaning crews disinfected facilities across campus that may have been used by sick campers. Gabaldon Hall, the Skydome, South Dining, Mountain View Hall, and McConnell Hall were all disinfected. The Recreation Center and the Fieldhouse were disinfected in nearly hourly cycles. Also, though there were no reported incidents at the Cline Library, the University elected to disinfected it as a precaution.

Capital Assets and Services supplemented on-campus cleaning crews by contracting with two outside cleaning businesses.

Campers and University employees were informed of the need to practice good hygiene.

Additionally, because the ease of spreading this disease can make it difficult to contain, the University cancelled the remaining campus-based summer camps.

The University provided information on norovirus to all campers as they checked out and mailed information to the directors of the camps noting the spread of the disease had ended.

The Office of Affirmative Action is responsible for working with all members of the Northern Arizona University community to ensure that the University is meeting the letter and spirit of its legal obligations in the areas of affirmative action, equal opportunity and nondiscrimination, and the Americans with Disabilities Act (ADA), and to support the University’s commitment to diversity.

The University annually completes and submits the Clery Report, which highlights crime reporting procedures, safety tips, community policing, safety escorts, and campus crime statistics for both the Flagstaff and Yuma campuses. It is also available on the Web. The University meets all other federal and state reporting requirements, such as the Integrated Postsecondary Educational Data System reports, Financial Aid reports, and performance accountability reports such as the Master List.

The University devotes considerable resources to research and safety compliance efforts, and has recently created a Web site to offer compliance related information. Areas covered include animal care, biological safety, chemical hygiene, hazardous materials, environmental safety, human subjects, industrial hygiene, radiation control, risk management, and safety. Key institutional committees in this area include the Institutional Animal Care and Use Committee, and the Institutional Review Board (IRB) for the Protection of Human Subjects. Key personnel include a newly hired Institutional Review Board Administrator and a campus Regulatory Compliance
Officer. The Web site also includes the training schedule for regulatory compliance training, including information about who must attend such training.

The University has a policy following guidelines suggested in the Health Insurance Portability and Accountability Act (HIPAA) and data security. This policy is administered through the Information Technology Services office, which maintains a Web site to provide tools to help departments keep patient data private and secure.

The University maintains policies for the protection of community members, including student interns and volunteers, while engaged in official off-campus University functions and activities. Services offered to protect members of the University community engaged in official off-campus functions include authorized state insurance protection.

In a further move to protect students and others that the University serves, Northern Arizona University implemented a policy to conduct criminal background investigations in hiring regular, benefit-eligible staff in 2000. In 2006, it adopted an expanded policy to include fingerprinting of all new employees involved in safety-security functions and those who disclosed criminal convictions. Human Resources tracks background checking outcomes to ensure consistency and improve practices.

Northern Arizona University has an Athletic Compliance Office whose mission is to “effectively and efficiently ensure the department’s adherence to the rules and regulations of the National Collegiate Athletic Association and the conference(s) of which it is a member.” This office maintains a Web site prominently linked from the University’s Athletics Web site (Compliance).

As with any comparable organization of its size and complexity, it is recognized that the University may need to strengthen its oversight and monitoring of its co-curricular and auxiliary activities and organizations, while enhancing key links to its external constituents.

Northern Arizona University consistently implements clear and fair policies regarding the rights and responsibilities of each of its internal constituencies. Employees are informed of their responsibilities and rights through orientation, training, and key documents such as the Personnel Policy Manual, Faculty Handbook, and Conditions of Faculty Service. Students’ rights and responsibilities are explicated in the Student Handbook, which includes a student code of conduct. The Handbook describes formal and informal procedures to resolve problems and ensure fair adjudication of students’ rights in the following functional areas: code of conduct and other discipline matters, grade appeal procedures, policy on inspection, and review of student records.

A formal policy provides all members of the community with protection against discrimination and harassment. Mandatory online training is provided to
The University maintains effective policies, procedures, and employee training programs to safeguard all members of its academic community from prohibited discrimination and harassment.

educate employees on prevention of sexual harassment. Beginning in October 2004, and through July 2006, this training was given to 5,432 employees.

The University upholds its integrity through regular training programs, which convey a clear understanding of policies and the obligation to obey and uphold laws. It also defines responsibilities of its internal constituencies. These programs include:

- Professional development and training programs to address key areas, including violence prevention in the workplace, supervisor responsibility for safety, valuing and managing diversity, and providing a safe working and learning environment
- Employee training, including New Employee Orientation, to emphasize the values, mission, and goals of the University
- The Office of the Provost provides workshops to assist academic leaders in upholding the University mission and policies, as well as the law. Workshop topics have included Fostering a Positive Culture and Productive Atmosphere in the Academic Unit, The Power and Problems of Personnel, Supporting our Students, Setting the Agenda for Excellence, Leadership and Strategies for Course Schedule Planning, and The Care and Feeding of Chairs
- The University maintains an extensive Family Educational Rights and Privacy Act (FERPA) Web site, which includes a training tutorial, information about the law, and contact information for local experts. All employees who have access to student records must pass the training tutorial. Beginning in 2002, and through August 2006, training was completed by 6,328 employees
- The University recently implemented a university-wide policy for faculty, staff, and affiliates to “promote the efficient, ethical, and lawful use of Northern Arizona University’s computer and network resources”

Northern Arizona University documents timely responses to complaints and grievances, particularly those of students. In order to resolve problems and ensure fair adjudication of student rights, the University maintains a policy that provides informal and formal procedures for resolution of student complaints. While emphasizing informal procedures for the resolution of student complaints, the policy provides for formal procedures when informal procedures are ineffective. Formal procedures include specific deadlines for written communication of findings and recommendations. Academic units maintain logs of formal written student complaints that document the general nature of the complaint and the action taken. The Student Handbook communicates clearly the student code of conduct and provides students with comprehensive information about policies, grievances, and appeal procedures. The Office of Student Life guides students in participating in healthy community activities and appropriate university behavior.
A policy to provide students with a procedure to deal with Title IX and Section 504 problems has been established. Copies of the policy are available in the Office of the Associate Provost for Academic Administration, the Counseling Center, the Office of Student Life, and from the Office of Disability Resources.

When issues arise, employees are afforded channels of grievance, complaint, and early resolution through Human Resources, the Office of Affirmative Action/Equal Opportunity, and the Vice Provost for Academic Personnel. The recent addition of a Faculty Ombuds Program provides for voluntary, informal, neutral, confidential assistance in resolving university-related issues, concerns, or conflicts. This program, sponsored by the provost’s office, appoints up to ten faculty trained in faculty ombuds work. Appointment as an ombuds is considered a University service opportunity undertaken voluntarily as part of a faculty member’s normal workload. The ombuds works outside of the formal problem-resolution and grievance procedures of the University offering informal facilitation, confidential communication, and collaborative dispute resolution between parties when requested.

The University provides programs offering services including early resolution, consultation, and conflict management. The Employee Assistance and Wellness Center (EAW) offers clinical services for short-term counseling, critical incident response, conflict management, and a wellness at work program.

**Northern Arizona University presents itself accurately and honestly to the public.** The Office of Public Affairs provides accurate and timely information about Northern Arizona University to the public and to the press. The office works to promote the University’s mission and to publicize the accomplishments of students, faculty, and staff. The office coordinates responses to formal and informal requests for information. Media inquiries are encouraged, and assistance is available 24/7 via cell phones and pagers.

The University publicly states its strategic plans and budget priorities, and regularly reports progress towards these goals by providing evaluation of its performance. Much of this information is reported to the Arizona Board of Regents and is made available on the University’s Web site (see also sections 1A and 1C). The University participates in providing information for external agencies, including the Integrated Postsecondary Education Data System (IPEDS), the Common Data Set, *US News & World Reports* and other college guidebooks, the Consortium for Student Retention Data Exchange (CSRDE), and numerous other organizations. The Planning and Institutional Research (PAIR) Web site provides a wealth of information, including national study comparisons as well as internal enrollment figures, data on student and faculty characteristics, budget figures, and data comparisons to peer institutions. (Data are available at both summary and detailed levels.)
The University also makes available to the public its self-studies for continuing accreditation by the Higher Learning Commission of the North Central Association of Colleges and Schools and other program accrediting bodies.

SUMMARY
Evidence shows that Northern Arizona University operates with integrity to ensure the fulfillment of its mission through structures and processes that involve the board, administration, faculty, staff, and students. Northern Arizona University operates under the auspices of the Arizona Board of Regents, which provides active oversight related to the University’s mission, direction, and integrity. Board governance is accomplished through committees, meetings, planning, and reporting. A statewide perspective is implicit because the Arizona Board of Regents oversees all three state universities in Arizona.

Northern Arizona University has in place structures and processes for effective shared governance in which faculty participate actively in the administration of the University through the Faculty Senate and through serving on councils and committees, such as the President’s Cabinet, Council of Deans, and Strategic Planning Council. Students also have a clear governance structure, serve on the Arizona Board of Regents, and other key University committees.

The University’s mission and goals are embraced by the campus community. Faculty, staff, students, and constituent communities identify with the University’s commitment to:

- A faculty-intensive undergraduate education
- Graduate and professional education
- Applied and basic research in regional (Colorado Plateau) and global issues
- Service providing education to place bound individuals throughout the state
- Diversity (with a distinctive focus on Native American communities)
- Recognition of the University’s roots as a teaching college

The integrity of Northern Arizona University activities is ensured by policies and practices that are well-defined and administered through offices and personnel following local, state, and federal laws and regulations. The connection between planning and budgeting has become increasingly explicit and reciprocal. There is an unambiguous history of funding priorities identified by University
constituencies in last five years. There is widespread agreement about key funding priorities such as faculty and staff salaries and building infrastructure.

The Self-study process and other planning initiatives identify the next steps for continuous improvement in the University’s endeavor to operate with integrity in continuing to fulfill the University’s mission:

1. Ensure attention is given to carefully planning and balancing the University’s mission on the Flagstaff campus and throughout the state. With the continued expansion of Northern Arizona University into the Phoenix and Tucson metropolitan areas, and with the intent to evolve and develop further capacities at the Northern Arizona University-Yuma campus, the University must deftly build a resource base and define structures and practices to ensure the whole and parts maintain a healthy balance to mutually thrive.

**PROGRESS:**
- Northern Arizona University received more than $4 million dollars in FY 2006-2007 to expand health profession programs on the Flagstaff campus and in statewide locations, and to lease a highly visible building in Phoenix to offer expanded programming.
- In September 2006, the Arizona Board of Regents designated Northern Arizona University-Yuma a branch campus. Northern Arizona University hired a new Associate Vice President and Campus Executive Officer for Yuma in December 2006. The president noted that the change of the position title from Executive Director to Associate Vice President and Campus Executive Officer reflects a renewed commitment to the lower Colorado River region. The Campus Executive Officer is engaging internal and external constituencies in a comprehensive strategic planning process that will chart the future development of the Yuma campus and its programs.

2. Ensure attention is given to updating and aligning the University’s publicly articulated mission documents throughout the organization. Included in this effort are improved processes to update and provide public access to student and faculty handbooks and a unified set of University policies.

**PROGRESS:**
- The Conditions of Faculty Service (COFS) document has been revised extensively by the administration and the Faculty Senate.
- New Web resources associated with the University Web site offer University leadership a flexible way to build continuity within their unit and throughout their department and college. The pages within the University Web site are maintained through a Content Management System (CMS).
3. Ensure the University enhances its integrity by improving its ability to provide transparent and accountable reporting to students and the public.

**PROGRESS:**
- The new strategic plan embeds accountability into goals and initiatives, and tracks performance through explicit accountability measures.
- Improved administrative software and data warehouse information allow more robust capabilities for reporting and updating data and documents on the University Web site.
Building on its distinctive mission and traditions, the University is working to expand educational programming to meet needs, developing innovation in educational practices to benefit learners from preschool to universities, and forging strong partnerships to leverage intellectual and research assets that address real-world problems. Responding to international opportunities will allow the University and its students to engage in tomorrow’s global environment.

**CORE COMPONENT 2A: The organization realistically prepares for a future shaped by multiple societal and economic trends.**

Northern Arizona University has strategic planning processes in place that engage internal and external communities to form goals and identify priorities that guide the actions and resource allocations of the University. Northern Arizona University’s strategic planning processes are informed by ongoing environmental scanning, assessment of institutional capacities, and attention to trends that are likely to be important in shaping the future.

The core of the strategic planning processes is the University Strategic Planning Council, which includes faculty, students, staff, and administrators. The Council meets regularly (generally twice per month) to provide leadership for strategic planning and assessment of effectiveness. These activities create the University’s five-year strategic plans that are instrumental in establishing annual priorities.

External constituencies inform the planning process through the governing structures, legislative process, advisory boards, and market research. Strategic planning is shaped by directives and priorities established by the Arizona Board of Regents, the governor, and the Arizona legislature. Annual state-level planning and budgeting processes establish a context for institutional planning and budgeting. Other external stakeholders influence strategic planning through participation on college, program, and institutional advisory boards. Planning for educational program development and delivery is informed by ongoing research of market demand and community needs.
The University’s strategic planning process is led by the president and facilitated by the Vice President for Institutional Effectiveness. Institutional planning is linked to annual state-level planning through the Office of the Governor and Arizona Board of Regents. The Strategic Planning Council orchestrates the University’s annual planning process. This process involves facilitated discussions to elicit advice from groups across campus each year, along with a Web site that solicits feedback from internal and external constituencies. The Strategic Planning Council synthesizes and analyzes information from the campus community and other stakeholders to formulate the annual University Strategic Plan. The Strategic Plan establishes goals and objectives for the short and long term.

In fiscal year 2005, the University launched two initiatives to extend formal strategic planning further into the organization and forge a stronger link between planning and budgeting. The first initiative was a unit-level strategic planning process through which units and departments engage in planning consonant with the University’s strategic plan. The second was a process that systematizes budget planning for all divisions of the University. The budget planning process culminates in a retreat where the two major leadership groups (President’s Cabinet and the Council of Deans, along with other key university leaders) discuss and prioritize budget requests submitted by division vice presidents. The priorities identified by this leadership group guide the president’s budget decisions for the next year. (Additional description of the planning and budgeting process, as well as examples of resulting investment decisions, are presented in Criterion 1.)

Northern Arizona University’s planning documents reflect an understanding of the organization’s current capacity and attention to trends and emerging factors that will shape the future. Multiple overlapping planning documents address Northern Arizona University’s current capacity and its preparation to respond to emerging social, economic, and technological trends. Four key planning documents that address the University’s capacity and strategies for meeting the challenges of the future are submitted annually to the Arizona Board of Regents. They include the following:

- Five-Year Strategic Plan
- Capital Development Plan and Capital Improvement Plan
- Budget Request
- Personnel Request

These are a subset of a much larger portfolio of required Arizona Board of Regents, state, federal, and local reports that provide historical data, current capacity information, and potential issues for future planning. Collectively, these documents demonstrate how the University anticipates trends that are likely to affect the fulfillment of its mission.
**Demographic Trends**

The University is acutely aware of external influences on higher education and on Northern Arizona University in particular. By 2009, Arizona’s population will likely increase by 14.9 percent. In response to the Arizona Board of Regents’ proposed redesign of higher education, Northern Arizona University articulated the concept of “Expand on Demand.” This is a three-fold concept that commits the University to:

- Expand based on student demand for higher education across the state
- Establish and support sites from 300 to 3,000 students by building facilities on community college campuses, or leasing or buying facilities in the community
- Build or lease stand-alone facilities when enrollment reaches more than 3,000 students

In ten years, the University could grow to serve 20,000 on the Flagstaff campus and 15,000 at other campuses and on the Web.
Northern Arizona University has been adapting to higher education needs in the marketplace for more than 30 years. By conducting market-demographic analyses and adapting to changing market dynamics, the University provides service to diverse populations where they need it most—in their immediate communities. The University has created numerous degree and certificate options, flexible formats, and hybrid programs that combine different delivery modes, such as shorter sessions, local cohorts, and Web-based courses and support. Distance Learning via the Web requires a sophisticated technical infrastructure to provide statewide and worldwide connectivity. It also requires an expanding local-site infrastructure to meet the needs of the state and serve place-bound and non-traditional students.

Northern Arizona University currently enrolls about 13,400 students on the Flagstaff campus and another 7,100 students in Distance Learning programs or courses. The University has the capacity to teach an additional 2,000 students at the Flagstaff campus, and an unlimited number through Distance Learning while adhering to the fundamental principles of academic quality and service. In ten years, the University could grow to serve 20,000 on the Flagstaff campus and 15,000 at other campuses and on the Web.

Expand on Demand, a market-driven principle, allows Northern Arizona University to quickly adapt to ever-changing student and community needs.
Technology

In order to increase institutional effectiveness and enhance the quality of educational programs, the University has devoted significant resources to technology enhancement. Over the last decade, the University has upgraded its information technology infrastructure to support administrative functions. The implementation of Oracle PeopleSoft and Advantage systems marked important milestones in the evolution of the University’s capacity for information and financial management. Information Technology Services develops an annual strategic plan to set directions for the near future. Information Technology Services works with students through the Provost’s Academic Computing Advisory Committee to identify student requirements and to budget student information technology fee funds to meet those needs.

To facilitate planning and to ensure the highest quality learning environments, the University began to develop classroom technology standards in 2006. This collaborative effort, involving Information Technology Services, the e-Learning Center, and the Provost’s Academic Computing Advisory Council, will establish minimum technology facility standards for general purpose classrooms according to size. They will also consider needs and standards for classrooms requiring specialized and/or more extensive technology.

In developing the e-Learning initiative, Northern Arizona University became a leader in the use of technology to promote learning and to help develop technology skills for Arizona’s workforce. The e-Learning Center provides support to faculty in the design and development of Web-based and Web-enhanced programs and courses. It also supports faculty research on technological enhancements to promote learning.

The University’s infrastructure for distance education is extensive and was recently enhanced to increase the capacity for the electronic delivery of programs. In 2004, the University completed an upgrade from an aging analog system to provide a state of the art digital system for voice, video, and data. This system provides two-way video for the Interactive Instructional Television (IITV) system, including separate simultaneous transmission of instructor and graphic images on separate screens. Voice-over Internet protocol (VoIP) allows students and faculty to speak between the Flagstaff campus and 37 off-campus sites, being charged for local, non-toll, telephone calls. A toll-free telephone connection to Flagstaff allows students from anywhere in North America to call and talk to their instructor. If the instructor is at an off-campus facility, calls can be routed over the VoIP system. Information Technology Services provides hardware, database, and system administration support for the Vista course management and delivery system, including a 24x7 help desk for students.

Information Technology Services also works with faculty and students through the Provost’s Academic Computing Advisory Committee to identify student and
It’s important to note that technology is merely the “means” to support a quality educational experience.
faculty needs and to recommend solutions, including use of student information technology fee funds, to meet those needs.

Recognizing Northern Arizona University’s leadership in educational technology, the Arizona Board of Regents developed a management agreement with the University to lead the development and management of the Arizona Universities Network (AZUN). AZUN allows students to complete online undergraduate and graduate degrees using courses from all three state universities (Appendix 10). The AZUN portal provides learners with information about programs, courses, and transferability. It also enables registration at any of the three state universities.

Globalization
Northern Arizona University’s location presents unique challenges and opportunities in relation to the increasing globalization of the economy and society. On the one hand, the University is situated in the dynamic economy of the Southwest region of the United States, which is increasingly diverse in culture, partly because of migration across national boundaries. At the same time, the University’s main campus is located in a rural region of Arizona that, although bordering Native American tribal communities, is relatively remote from the hubs of internationalization.

In recognition of this circumstance and because the University recognizes the trends and importance of developing a global economy, it has made internationalization a high priority. Internationalization is a long-term initiative of great importance to ensure that Arizona university graduates are prepared to compete in a global marketplace. The University seeks to increase the number of international students on campus and the global knowledge and experiences of all students through an expansion of alliances with foreign universities, study abroad programs, and curricula. Leadership and resources are dedicated to these goals. The International Office was reorganized, expanded, and renamed the Center for International Education. A Vice Provost for International Initiatives was created to provide strong leadership for multiple initiatives to promote internationalization.

Although internationalization is an emerging dynamic, the University has already accomplished the following:

- The Center for International Education developed a strategic plan for internationalization, which has been incorporated in the University Strategic Plan.
- A University diversity requirement was implemented in fall 2005. Students must take at least one three-credit hour course in each of two categories: U.S. Ethnic Diversity and Global Awareness.
- The University cultivated partnerships with institutions in China to facilitate an exchange of faculty and development of programs to serve Chinese students through participation in an American Association of State Colleges and Universities Program.
• A 1+2+1 program for Chinese students to earn a dual degree from Northern Arizona University and their home university was created. To date, Northern Arizona University has signed agreements with 38 Chinese universities. The agreements foster student and faculty exchanges.

• A strengthening relationship with Saudi Arabia is bringing increasing numbers of Saudi students to the University. The Saudi government identifies Northern Arizona University as a U.S. institution of higher education wherein study is supported by its citizens.

• A reorganization and restructuring created the Center for International Education which has expanded the promotion and support for study abroad and other international learning experiences for Northern Arizona University students.

• The addition of a Vice Provost for International Initiatives in 2007 will further enhance the University’s capacity for moving the internationalization effort forward.

Sustainability
Sustainability is a key value and strategy for the University community. With the goal of being a leader in sustainable practices and environmental education, the University is investing in sustainable infrastructure, architecture, business practices, and transportation systems. The University’s sustainability program leads implementation of the Campus Environmental Sustainability Plan.

The University’s sustainability program provides education and promotes projects and practices that minimize consumption of resources and reduces adverse environmental effects. The sustainability program complements the University’s strong education and research programs related to the environment and sustainable technologies.

The University community monitors regional, national, and world trends:

• The Strategic Planning Council discusses planning issues affecting the University at each meeting.

• The Strategic Planning Council reviews and discusses environmental scanning documents and articles throughout the year, including those from the Society for College and University Planning’s environmental scan and the Arizona Board of Regents’ annual environmental scan.

• In 2004, the College of Business completed an environmental scan for the Strategic Planning Council.

• The president hosts leadership retreats where University leaders study and discuss trends shaping the world and region that affect the University.

• Campus forums engage faculty, staff, and students in dialogues about the University and important trends.
• A Long-Range Planning Subcommittee prepared a report in 2005-2006 about global and regional trends affecting higher education.
• Department, division, college, school, and other unit strategic plans identify broad and important trends.
• Significant environmental scanning was completed during 2004-2005 by the Arizona Board of Regents in its proposed redesign of higher education, which informed the University’s response document.
• The Northern Arizona Task Force on Higher Education, formed to enable external constituencies to have a stronger voice in the redesign process, conducted an environmental scan in preparation of its report to the Arizona Board of Regents.

Northern Arizona University’s planning documents show careful attention to the organization’s function in a multicultural society. The section addressing core component 1B describes the University’s goals, strategies, and accomplishments in diversity. Each year, the University allocates additional base funding for diversity initiatives. In order to evaluate the success of these diversity initiatives, the president created an Advisory Council on Diversity and Equity in 2006. The Council’s main task is to develop plans to assist in achieving goals related to diversity and assess progress. The Council works closely with the Strategic Planning Council and the Center for International Education, which also focus on diversity initiatives.

Northern Arizona University’s organizational environment is supportive of innovation and change. An inclusive culture, marked by strong lines of communication and the participation of University stakeholders in deliberations about institutional directions, creates an environment conducive to successful change. Since his appointment as president in November 2001, John D. Haeger has been shaping his agenda for Northern Arizona University as a university with a “tradition of excellence and a culture of innovation.”

President John D. Haeger’s Inaugural Address

“Unlike many public institutions around the country, we have an incredibly strong core of undergraduate and graduate programming, research that equals our peers in both pure and in applied fields, and a reputation for experimentation in technology and program delivery. Our challenge as an institution is to find a way to harbor both tradition and innovation within our departments and colleges, to honor our humanistic and social science disciplines and our undergraduate focus alongside our economic innovations. We must celebrate the diversity of our missions and our university community of faculty, staff, and students. Northern Arizona University’s Tradition of Excellence and its Culture of Innovation can shape our future.”
To implement this agenda, the president led the University to:

• Build a robust strategic planning process to produce a sharply focused plan with clearly articulated priorities
• Centralize budgeting, achieve control over all University resources, and build reserves
• Create a division of Enrollment Management and Student Affairs to strengthen recruitment and learner services
• Reorganize and strengthen leadership to support growth in Distance Learning
• Reorganize academic colleges to capitalize on synergies, focus on priorities, and strengthen leadership for instruction and research
• Develop marketing functions and a stronger institutional identity
• Invest in asset structures like faculty and staff salaries, buildings, and technology

Having developed greater capacity for innovation and change, the University is more responsive to needs and developments within the state and region. Building on its tradition of serving educational needs, Northern Arizona University strives to be a partner in the region’s social, cultural, and economic development.

Examples of innovations include:

• Curriculum Evolution: growth and elaboration of programs directly related to state and regional economic needs (nursing, dental hygiene, construction management, teaching, environmental science). Planning is under way for expansion of existing health related programs (physical therapy, dental hygiene, nursing, speech pathology, special education) and the development of new programs in the health professions.
• Instructional Innovation: with over 30 fully Web-based academic degree and certificate programs, Northern Arizona University is a leader in online education. The University’s 2005 Request for Institutional Change documents its extensive supports for development of effective learning environments and services for online and other distance learners.
• Focused Research: Northern Arizona University’s research profile is distinctive, with strengths in instruction and public service. A Research and Graduation Task Force identified four key areas of institutional strength that will shape the research agenda for the future. Research focusing on real-world issues affecting the region will be the priority.

Northern Arizona University incorporates in its planning those aspects of its history and heritage that it wishes to preserve and continue. The University has a long history as an institution that offers outstanding residential undergraduate education, is a leader in the preparation of teachers and educators, delivers high
quality educational programs to rural, underserved areas in the state, has a special commitment to serving Native American students and communities, and conducts research on the ecosystem and human communities of the Colorado Plateau.

Discussions among those involved in the Self-study process affirmed the continued value of the University’s historic strengths and mission. (See Criterion 1.) Key elements of the University’s heritage that continue to shape priorities and planning include the following:

• A Focus on Undergraduate Instruction: the University community is proud of its learning-centered undergraduate education distinguished by classes that provide close interaction among professors and students, and a friendly, supportive, and active residential campus environment. In it most recent strategic plan, the University establishes the goal to “Become a truly learning-centered campus that has a deep commitment to student success and high expectations for student learning.” This goal will be pursued through several initiatives to enrich learning environments, to provide support services to learners, and to promote excellence in instruction.

• Roots as Teacher’s College: Northern Arizona University began as a teacher’s college and continues to be the state’s largest provider of graduate degrees in education. As outlined in Northern Arizona University’s State of Arizona Strategic Plan 1997-2006, the University seeks to become the only Arizona public university accredited by the National Council for Accreditation of Teacher Education (NCATE), an organization known for setting the standards for excellence in teacher education and for promoting accountability of teacher preparation programs. The University also aims to expand its preparation of early childhood educators, secondary teachers in crucial shortage areas, such as math and science, and teachers for rural sites. Northern Arizona University also manages the Arizona K-12 Center, dedicated to providing quality professional development for educators throughout Arizona, and supports an affiliate of the National Writing Project to provide in-service education for Arizona teachers.

• Commitment to Serving Native American Students and Communities: For many years the University has strived to serve regional Native communities, to be a leading provider of higher education to Native American students, and to cultivate partnerships with regional tribal governments. This commitment is reflected in the University’s strategic plan. The creation of the Commission on Native Americans affirms the importance of this goal.

• Provision of Education to Rural Communities and Place-bound Learners: For over 20 years, Northern Arizona University has been dedicated to the mission of providing educational programming throughout the state to underserved populations. The University has developed sophisticated methods of distance delivery that will buttress its expansion in this area in the future.

Diversification of revenue sources is a key strategy for expanding the resource base in the future.
future. In 2005, the University presented a Request for Institutional Change to the Higher Learning Commission seeking approval to deliver unlimited online educational programs. The change was granted by the commission, making the “online campus” the fastest growing area of University enrollment growth.

- Commitment to Graduate Studies and Research with a Special Focus on the Colorado Plateau: the strength of this heritage is evident in the growth of programs, sponsored projects, centers, and institutes with a focus on regional environmental, health, and social issues.

**CORE COMPONENT 2B: The organization’s resource base supports its educational programs and its plans for maintaining and strengthening their quality in the future.**

Northern Arizona University’s fiscal, capital, and human resources support its mission and ensure advancement of the quality of its educational programs. These resources are delineated in its annual *FY 2006 Financial Report* (Appendix 3). The FY 2005-2006 report identified a total net asset increase of $23.3 million from July 1, 2004 to June 30, 2005. As of June 30, 2005, the University maintained an A2 rating from Moody’s Investors Service and an A+ rating from Standard and Poor’s Rating Services.
The University is heavily dependent on state appropriations and tuition. Each year the University develops a State Budget Request identifying critical issues, projects, and initiatives for which funds are needed. While the state’s percentage of support has declined over time, it remains comparatively high among publicly assisted schools in the nation at 38%. Recent increases in tuition rates supplement diminishing legislative appropriations. Over the last decade, the University has enjoyed a dramatic increase in sponsored project funding.

The organization’s resources are adequate for achievement of the educational quality it claims to provide. As a part of the Arizona Board of Regents’ University System Redesign initiative, a consultant, David Longanecker, presented an overview of the resources related to instruction. Using the National Center for Higher Education Management System (NCHEMS) database, Dr. Longanecker assessed the resource base of the Arizona University System. Dr. Longanecker said that in a comparison with other states, “Arizona’s research intensive university, Northern Arizona University, compared reasonably well, with $11,215 in revenue per student compared to $11,687 for the average amongst research intensive institutions in the seven states that have comparable institutions.” (Page 3, *Analysis of Arizona Higher Education Finance Compared to Nine Comparison States.*)

Comparisons to the Integrated Postsecondary Education Data System (IPEDS) reports on revenues and expenditures per full-time equivalent (FTE) show the resource base is adequate, although not as high as desired, for achievement of educational quality. Measures of educational quality are reported in strategic plans and other accountability documents available to the public. Comparisons to national indices, such as the National Study of Instructional Cost and Productivity, provide additional evidence of adequate instructional support.

Starting in FY 2002, state appropriations, tuition revenues, and other funding sources have been augmented by allocations derived from a voter-approved state initiative (Proposition 301) titled, Technology and Research Initiative Fund (TRIF). The University receives funds from this initiative, known as “Proposition 301,” through the Arizona Board of Regents. Funds are invested in four initiatives according to proposals and business plans submitted to the Arizona Board of Regents: Access and Workforce Development, e-Learning, Growing Biotechnology, and Environmental Research, Development and Education.

In FY 2007, the University added an Allied Health Initiative to support the expansion of professional health programs. A portion of Proposition 301 resources is dedicated to capital investment along with other initiatives and a “President’s Initiative” that allows the University to respond quickly to opportunities appropriate to TRIF. Levels of funding fluctuate because they are provided by state sales tax collections. In 2006, the University received $10 million for all initiatives.
Fiscal support from Proposition 301 enabled the University to enhance research capabilities in biotechnology, environmental sciences, and technology. These funds have also developed strong infrastructures for e-learning and expansion of Distance Learning programming. These funds have also enhanced research capabilities in biotechnology, environmental sciences, and technology.

Plans for resource development and allocation document an organizational commitment to supporting and strengthening the quality of the education it provides. One of the key underlying concepts of Northern Arizona University’s strategic planning process is the linkage of strategic plan priorities with resources. Principles guiding the strategic planning process also set the foundation for resource development and allocation dedicated to strengthening the quality of education. The planning process focuses attention on short- and long-term issues and balances the two. It also considers how priorities for new initiatives match mission commitments.

Through conservative planning and management of resources, the University has been able to restore reserves for unanticipated needs and short-term strategic investments and invest in top priorities—even without additional state appropriations for these purposes. Prudent budget planning, which considers different possibilities for enrollment and state appropriations along with ongoing strategic reallocation of existing resources, enabled the University to free resources for critical investments. (See Criterion 1.)

Vice presidents and the Chief Information Technology Officer engage in an annual macro budget planning process to identify priorities in support of the strategic plan that strengthens the quality of educational programs. The process guides reallocation of existing resources and new institutional investments so that top institutional priorities are addressed.
Northern Arizona University’s “Planning Principles” align budget planning with a strategic planning process that engages the University community and is responsive to external stakeholders. To the degree feasible, the principles ensure investment in the highest identified priorities. Resource allocations are guided by a related set of principles.

**Northern Arizona University Resource Principles**

*Resource principles provide the framework for budget/resource allocation decisions. These principles recognize the variety of funding and resources that support Northern Arizona University functions and encourage creativity and flexibility in financing strategic plans. They also require awareness and integration of campus planning at all levels to effectively allocate budget and resources.*

**GENERAL PRINCIPLES:**

- Informed budget decisions are made by studying and analyzing data, and by making projections.
- Identify budget priorities through the use of participatory processes, guided by the mission statement and the strategic plan.
- Ensure near-term allocation decisions complement longer term planning.
- All units are expected to manage operations within allocated resources.
- Reallocate resources and redesign functions to provide funding for high priority strategic initiatives.
- Maintain flexibility at all levels of the organization to fund strategic initiatives, emergencies, and discretionary needs.
- Vice presidents, deans, and other senior leaders preserve the institution’s core functions in making budget decisions within their own units, including any reorganization and consolidation. However, it is important that budget reorganization not simply shift costs to other units unless institutionally thorough analysis determines that it is appropriate and reasonable to do so.
- Unrestricted revenue can be used at the institution’s discretion, including all state and local accounts and fund balances.

The organization’s planning processes support achievement of planning goals, yet are flexible enough to respond to unanticipated needs for program reallocation, downsizing, or growth. Northern Arizona University abandoned a decentralized budgeting process because it was unable to accommodate planning and budget priorities. The University adopted a structure that emphasizes moving resources in a strategic manner over the short and long term. The annual budget planning process ensures resources will be allocated to support planning goals and
to allow the University and local units to identify and respond to unanticipated needs. At the same time, division and unit leaders are encouraged to anticipate resource needs over a longer horizon.

The annual planning process begins with an environmental scan that informs the development of planning assumptions. This information is distributed to all division leaders, along with details about the timeline for development. At about the same time, division leaders do annual workforce planning to review staffing and propose salary adjustments or reclassifications. Simultaneously, the Strategic Planning Council launches its annual process of identifying University priorities for the next year. These related efforts proceed in tandem through the academic year. Budget decisions are made and expenditure authority is determined for all divisions by the start of the next fiscal year (the precise timing depends upon when state appropriations are determined).

The organization uses its human resources effectively. The University cultivates its human resources through effective hiring processes, systematic orientation, performance evaluation, and professional development. Effective human resource related practices and procedures are in place at the University, college, and unit levels. Human Resources policies and procedures guide practices within divisions and local units. This creates consistency across the University and allows human resources to provide support for units throughout the University.

A workforce planning procedure was implemented to ensure effective planning for human resources in relation to strategic priorities and equity in salary adjustments and reclassifications across divisions. Workforce planning is orchestrated by Human Resources, which establishes a schedule for the submission of reclassification and salary equity requests for classified staff and service professionals. This is done in conjunction with the University’s annual planning and budget cycle.

In 2005, a training position was created in Human Resources to improve employee development. This provided for an increase in compliance related training, supervisory skills, and a more mission-focused new employee orientation. Northern Arizona University expects its employees to pursue professional development and the Human Resources Training Coordinator develops and coordinates programs for a wide range of university personnel. Additional professional development opportunities are offered through other units, such as Information Technology Services and Grants and Contracts Services. Funding for professional development is offered through Human Resources, which enables employees to participate in conferences, workshops, and other development activities. The annual performance evaluation process asks employees to document their professional development activity and encourages conversation with supervisors to develop plans for future development consonant with unit needs. Principles and tools for performance evaluation are informed by the University’s mission, values, and goals.
Over the last decade, several organizational changes were made to increase institutional effectiveness. These structural changes enabled more optimal deployment of human resources to achieve University goals and include:

- Restructuring of Academic and Student Affairs to create a division of Enrollment Management & Student Affairs
- Creation of the division of Planning, Budget and Institutional Effectiveness that reports to the President
- Reorganization of University Marketing
- Reorganization of University Advancement
- Reorganization and expansion of Distance Learning
- Restructuring of academic colleges

Strategic reallocation within Academic Affairs enables the University to support the development of new programs, the expansion of programs with growing demand, and the growth of sponsored research and public service. It also helps assure the quality of existing programs. A period of steady enrollment growth for the University ended in 2000. Because state funding for Arizona universities is strongly linked to enrollment growth, the stabilization of enrollment produced a commensurate stabilization in the number of faculty. Recent enrollment growth on the Flagstaff campus creates challenges for the University’s academic programs as they seek to expand capacity to serve increasing numbers of students.

Comparative data from the National Study of Instructional Cost and Productivity show that Northern Arizona University sustains a faculty sufficient to support the quality of its programs. Some areas are characterized by relatively low instructional loads that enable the faculty to engage in more research. The overall workload measurements for Northern Arizona University’s faculty mirror the national norm data for these disciplines. While the highlights below are based upon aggregate data that summarize the University-wide results, the reported data is most accurately interpreted and understood within the context of each individual academic department.

- Overall, Northern Arizona University's tenured and tenure-track faculty taught a greater number of class sections per FTE faculty than the same disciplines at other doctoral universities. The same general pattern holds when all faculty categories (including other regular faculty, supplemental faculty, and teaching assistants) are combined in the numbers.
- University-wide, tenured and tenure-track faculty generated slightly fewer student credit hours per FTE faculty than faculty in the same disciplines at other doctoral universities. When all faculty categories are combined, the faculty at Northern Arizona University generated greater student credit hours (SCH) per full-time equivalent (FTE) faculty than the national norms for these disciplines.
University-wide, tenured and tenure-track faculty had lower FTE Student to FTE Faculty ratios than faculty in the same disciplines at other doctoral universities (13.2 vs. 14.1). When all faculty are combined, the faculty at Northern Arizona University have higher student to faculty ratios than faculty in the same disciplines at other doctoral universities (16.4 vs. 15.4).

Northern Arizona University’s history of financial resource development and investment documents a forward-looking concern for ensuring educational quality. Educational quality is linked to programs, technology, and facilities, all of which have been significant areas of investment over the last four years.

Programs:
- Faculty Development
- Class-linked Academic Support
- Gateway Student Success Center
- First Year Seminar
- Living Learning Communities

Technology:
- Blackboard Vista upgrade
- Elluminate
- Cline Library wireless network
- Server upgrades
- Instructional technologies (such as, remote response systems, tablet computers, etc.)
- University-wide wireless network

Facilities:
- New College of Business
- Renovation of the engineering building
- New lab science building
- New Applied Research and Development building
- New residence halls (Pine Ridge and McKay Village complexes)
- Dining hall expansion

Perhaps most important are the investments made in recent years in faculty and staff salaries. Over many years, Northern Arizona University staff and faculty salaries fell behind the market and peer institutions. Stabilization and careful management of the University’s resources have enabled investments in staff and/or faculty salaries in each of the last three years. In 2005, the University implemented a plan to bring faculty and most staff up to a benchmark based on market and peer institutions. Using data from College and University Professional Association for Human Resources, salaries were adjusted to reach a minimum of 85% of the
mean for employee classifications among public institutions with similar total budgets. The goal is to maintain and even increase salaries beyond this benchmark. Although progress has been made in improving salaries, faculty salaries still lag behind peer institutions.

**CORE COMPONENT 2C: The organization’s ongoing evaluation and assessment processes provide reliable evidence of institutional effectiveness that clearly informs strategies for continuous improvement.**

Northern Arizona University has expanded its infrastructure to ensure institutional effectiveness. Leadership for these efforts is provided by the Vice President for Institutional Effectiveness, who facilitates planning, budgeting and institutional research. The University’s structure for advancing institutional effectiveness combines central, divisional and locally driven assessment and evaluation processes. The multiple levels are integrated through the strategic planning and budgeting process, which brings together evidence of effectiveness from a diverse array of evaluation and assessment practices. Improvements to information systems over the last decade have supported the collection, analysis, and dissemination of organizational data. With an effective foundation in place, the University continues to develop the articulation between central, unit, and local planning and assessment processes.

**Northern Arizona University demonstrates that its performance meets expectations for institutional effectiveness.** The Office of Planning and Institutional Research (PAIR) conducts a wide range of assessment and evaluation processes. Many of these are tied to the University’s strategic planning and budgeting process. The Office provides data to support budget planning, development, and monitoring. PAIR’s Web site is a central repository of institutional data and reports that offers evidence of the University’s performance. The Office is responsible for
creation of the University’s strategic plan and the five-year strategic plan required each year by the state of Arizona, as well as other reports to the state and the Arizona Board of Regents.

Northern Arizona University’s strategic planning documents provide an outline of indicators of institutional effectiveness (see Criterion 1). Through measurement of the University’s progress in attaining strategic goals, the University is accountable to internal and external constituencies. The University reports annual progress on measures identified as priorities by the Arizona Board of Regents and the University in Undergraduate Consolidated Accountability Reports (UCAR), Regents Accountability Measures (RAM), and in the strategic plan submitted to the state. These reports are also posted for public viewing on the Planning, Budget and Institutional Research Web site. Northern Arizona University’s leadership development, strategic planning, and budget planning processes and procedures are assessed regularly, and improvements are adopted to increase effectiveness. Improvements of centralized university processes have strengthened institutional effectiveness.

Centralized processes to improve institutional effectiveness are complemented and sometimes supplanted by divisional operations. Examples include regular, policy driven assessment in Academic Affairs and the assessment of student services and programs in Enrollment Management and Student Affairs.

Within Academic Affairs, the Office of Academic Assessment (OAA) and the University Assessment Committee (UAC) have been instrumental in establishing sound practices and a culture of assessment, encouraging continuous improvement at the course, program, and institutional levels. Guided by the UAC, the OAA focuses on assessment of student learning and other outcomes that provide evidence of effective educational practices. A culture of assessment of student learning is permeating into most, if not all, areas of the institution. The Annual Assessment Fair and the increasing rate of annual assessment report submissions from units illustrate widespread assessment practices and use of evidence to guide improvements across the University.

The OAA Director and staff coordinate and collaborate with PAIR to bring together data collected through central University efforts and combine it with that obtained through unit assessment processes. (More information about the OAA and the assessment of student learning is presented in Criterion 3 of this report.)

The Faculty Development Program provides faculty training and support for course and program-level assessment of student learning. The Program works closely with the OAA to promote assessment to improve instruction. Grant supported programs offer funding to faculty who want to systematically investigate pedagogical practices and innovations.

The effectiveness of online courses, programs, and technology used for instruction is assessed by the e-Learning Center. The e-Learning Center investigates
Criterion 2: Preparing for the Future

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Campus Infrastructure Building

In 2002, a firm was contracted to provide a Facility Condition Index (FCI) for all major buildings on the Flagstaff campus. This index is used to determine how the cost of renovating a building to address major issues compared to the cost of building a new building. All 100 campus buildings were classified into one of five categories, depending on their FCI score. 10 of NAU's buildings fell into the most serious category. Planning for capital projects has focused on addressing these buildings. As a result, six of them have been addressed so far by either demolition, extensive renovation or rebuilding.
how technology is best used to support teaching and learning. Its assessment specialist assists faculty in studying the effects of technology on student learning. The assessment specialist collaborates with faculty to collect and analyze data on student learning in traditional, hybrid, and online courses. The e-Learning Center uses results from these studies to provide faculty with support and guidance for the design of online and blended courses, and to inform the University community about the effectiveness of various pedagogies and technologies used in higher education. e-Learning conducts surveys of students to better understand their technical skills and preparation for online learning. The e-Learning mini-grant program offers support to academic units or faculty for focused assessments of instructional design and technological enhancements to instruction.

An assessment coordinator in Enrollment Management and Student Affairs leads efforts within the division to systematically monitor outcomes of programs in Student Affairs and Residence Life. The coordinator collaborates with OAA and PAIR on many projects that focus on student outcomes. Measures of effectiveness within the division are integrated into the division’s strategic plan to guide improvements across division operations.

Assessment and evaluation are also integral to the functions in the division of Administration & Finance, including Capital Assets, Human Resources, Security/Safety, and Transportation Services. The Campus Master Plan and annual planning for building development and renovation is guided by a comprehensive evaluation of the status of University structures.

**The organization maintains effective systems for collecting, analyzing, and using organizational information that supports evaluation and assessment processes.** When the University adopted the Oracle/PeopleSoft enterprise system software in 2003, it invested in the creation of an extensive data warehouse in Information Resource Management. The data warehouse is managed by the Information Resource Management Team, which is responsible for providing secure access to institutional information to conduct business and to support planning, decision-making, and reporting. Business Objects, a secure data access program, provides wide access to institutional data. Users can design reports for special purposes or select from numerous corporate reports.

The Office of Planning and Institutional Research (PAIR) is responsible for providing the University community with information in support of strategic planning and budgeting, policy formulation, and decision-making. It also provides data, analyses, and projections for planning and decision-making; coordinates the design, implementation, and analysis of major institutional studies; reports official data for mandated and other external reports; and assists other offices in obtaining and analyzing information. Uniform protocols for data reporting, developed by the Office, ensure consistency in practices across the organization.
PAIR conducts or coordinates numerous surveys used for assessment, planning, and policy development. Annual surveys conducted by the office include a Sophomore Survey, a Graduating Senior Survey, and an Alumni Survey. The University also regularly participates in national surveys focused on students and faculty, including those offered by the Cooperative Institutional Research Program (CIRP), the College Student Inventory (CSI), the National Survey of Student Engagement (NSSE), the Faculty Survey of Student Engagement (FSSE), the Higher Education Research Institute’s (HERI) faculty survey, and the National Study of Instructional Costs and Productivity (Delaware Study). Reports of survey results are posted to the PAIR Web site.

Over the last three years, cabinet level offices have devoted significant time and resources in developing organizational information for decision-making and planning. This is evident, for example, in efforts to better understand the demographics and market for Distance Learning programs, in recruitment and retention efforts by Enrollment and Student Affairs, and in efforts by University Advancement to improve financial aid analysis and develop a donor database.

The Office of Academic Assessment is responsible for collecting and analyzing data on student learning outcomes. The office is a repository for assessment plans and annual assessment reports produced by local academic units. Assessment staff aggregate unit-level assessment reports and conduct analyses to provide information about assessment practices and about student learning across academic programs. The office also coordinates the collection of data to assess student learning in Liberal Studies, which is reported to the Liberal Studies Committee and academic leaders. (Additional information about assessment of student learning is presented in Criterion 3.)

Systematic reporting of data and periodic reviews are used throughout Northern Arizona University to support continuous improvement. Data derived from ongoing measurement of institutional effectiveness and focused assessment efforts are systematically reported to leadership and other key groups to support continuous improvement. The strategic planning and budget processes described in previous sections of this chapter are the primary mechanisms through which broad indicators of institutional effectiveness are reported to the University community. Unit level strategic planning processes provide for dissemination and consideration of performance data to inform improvement strategies.

The Office of Planning and Institutional Research prepares a monthly report for the president and the President’s Cabinet (Appendix 11). These summarize the status and health of the University. Reports contain information from a variety of sources, including University Advancement, University Budget Office, Grant and Contract Services, Undergraduate Admissions, and the Graduate College. Each report presents current and past fiscal year enrollment, grants and contracts,
advancement, and budget data. Reports also provide focus data each month to highlight timely issues and/or survey results, such as retention data by academic unit or benchmark results for the National Survey of Student Engagement.

Data concerning student learning are collected and reported to faculty on a regular basis to guide course and curriculum improvements. (See Criterion 3 for further information.) The Office of Academic Assessment also issues regular reports to the provost, vice provosts, and deans about academic unit assessment activity. Numerous other regular and ad hoc mechanisms for reporting and sharing data exist throughout the University.

Ongoing assessment, evaluation, and reporting of data are supplemented by periodic reviews of programs or institutional practices. Regular academic program reviews offer in-depth assessments of academic programs. All programs are reviewed at least once every seven years. The performance of academic degree programs is assessed by academic program reviews, which involve program faculty, other faculty, academic leaders, the provost, and external consultants. (See Criterion 4 for further information regarding the academic program review process.)

In addition to scheduled internal reporting, Northern Arizona University frequently employs external consultants to assess institutional practices and to recommend improvements. In recent years, the University has contracted with consultants to assess student recruitment and retention strategies, diversity, institutional branding and marketing, student services, freshman year programming, distance education strategies, and allied health programming. The president of the National Center for Higher Education Management Systems (NCHEMS), Dennis Jones, consulted over a number of years to assist with the improvement of strategic planning and budgeting.

**Highlight: Key Consultant Reports**

- Dennis Jones—Strategic Planning & Budgeting
- Healey Report—Student Recruitment and Retention
- Lipman Hearne—Identity, Branding, and Marketing
- Eduprise—Distance Learning
- Collier—Health Professions
- Scannell and Kurz—Recruitment & Retention
- Eduventures—Distance Learning market research and trend analysis

**CORE COMPONENT 2D: All levels of planning align with the organization’s mission, thereby enhancing its capacity to fulfill that mission.**

The key mechanisms for ensuring strong alignment of all levels of planning with the mission are the strategic plan and annual budgeting process described in previous sections of this report. The University mission shapes the strategic plan,
which establishes goals for the entire University. The budgeting process ensures
that resources are directed through vice presidents to high priority initiatives that
help achieve strategic goals. The University is incrementally extending the formal
strategic planning process to lower levels of the organizational structure. The pre-
sent, vice presidents, and their division's top leaders use various strategies to align
planning and resource decisions with the University's mission-driven goals.

**Planning processes link with budgeting processes to support implementation of Northern Arizona University's planning.** Annual cycles of linked strategic and
budget planning ensure that identified priorities receive the fiscal support neces-
sary for effective operation. The most critical functions operate at the vice
presidential level. Vice presidents identify their macro budget priorities by
December each year. A leadership retreat in January or early February provides a
forum for the vice presidents to identify their highest priority budget items and
allows a broader group of campus leaders to discuss the budget, long- and short-
term priorities, and near-term budget planning. The retreat produces a clear
ordering of priorities, based on aggregate input, that guides resource decisions
made later in the cycle when there is more certainty about legislative appropria-
tions and tuition revenues.

Throughout the spring semester, the budget staff develops increasingly
comprehensive revenue and expenditure forecasts, and presents scenarios to the
President’s Cabinet. The president leads the cabinet in discussions about
planning and budget priorities to make decisions about re-allocations and new
investments, which are incorporated into revisions of the vice presidential expen-
diture plans and new annual budgets.

**Long-range strategic planning processes allow for reprioritization of goals when necessary because of changing environments.** Annually, the University
submits a five-year plan to the state of Arizona that outlines priorities identified
by the campus leadership. These priorities support broader mission documents.
The strategic plan, produced each year by the Strategic Planning Council, also
extends over a five year horizon. The charge of the Strategic Planning Council
and the processes utilized to involve internal and external stakeholders allow for
changes and/or reprioritization of strategic goals.

For example, in the 2005-2006 academic year, the Strategic Planning Council
decided to focus that year and the next on a substantial reformulation of the
University's strategic plan. Over the course of two years, the council engaged
the campus in a comprehensive re-examination of institutional goals. An interim
report was issued by the council in fall 2006 that informed the University com-
munity about accomplishments related to strategic goals and the progress of
efforts to develop a new plan. The Strategic Planning Council employed a wide
range of strategies in spring 2007 to solicit reaction and ideas from the University community and its external stakeholders about the draft strategic plan. A new strategic plan document will be published in 2007.

In 2005, the Strategic Planning Council recognized the need to better understand trends shaping the world of the near future and how they are likely to influence student learning goals and university strategies. It asked a Long Range Planning Subcommittee to study the issue. In 2006, the subcommittee reported how global, national, and regional trends are likely to influence Northern Arizona University over the next 25 years. Relying on an environmental scan, the report considers what students will need to learn to be prepared to navigate a complex, global, and highly technical world in which resources will be strained by population growth and global economic development. It also forecasts some likely changes in the operations of the University. The Report was disseminated broadly and discussed by leadership groups across campus.

**Northern Arizona University’s planning processes involve internal constituents and, where appropriate, external constituents.** Northern Arizona University’s strategic planning process provides a strong framework for accountability to internal and external stakeholders. The Strategic Planning Council includes students and representatives from different campus divisions and employment categories on campus. Regularly scheduled planning sessions are held on campus to allow for campus-wide discourse and the inclusion of many voices. Plans are widely shared with campus constituents and include regularly scheduled tactical updates.

Since 2003, the Strategic Planning Council held feedback sessions for the campus community, including faculty, staff, and students. Annually, 20-25 sessions, together with an online feedback survey, provide the campus community with an opportunity to respond to ideas, goals, and priorities proposed in the planning process and in planning documents. As appropriate, the Strategic Planning Council incorporates suggestions into the planning process, especially in identifying University priorities for funding. Planning processes involve off-campus or external constituencies who serve on college and program advisory councils, search committees, and who have other opportunities to communicate with University leaders.

In 2005, the Strategic Planning Council substantially revised the planning documents. Their decision was based on advice from members of the campus community and external consultants, who suggested that a more outwardly focused strategic plan would increase accountability to internal and external constituencies. The goal is to produce planning documents with more explicit and measurable outcomes and with a greater emphasis on the University’s commitment to external constituencies.
SUMMARY

Goals to enhance the future development of Northern Arizona University include:

- Developing new and redesigning existing academic programs to serve Arizona’s growing population and changing economy
- Deepening engagement with students and stakeholders throughout the state
- Continued cultivation of human capital, facility, and technology assets
- Careful management of resources
- Refining strategic planning and budgeting
- Improved assessment and benchmarking of performance
- Creating a more dynamic and responsive organizational structure
- Enhancing the focus on sustainability
- Increasing capacity to achieve goals for diversity

The strong alignment of planning and budgeting has enabled Northern Arizona University to make substantial progress toward achievement of a number of strategic goals, including:

- Improving faculty and staff salaries
- Improving and expanding the building infrastructure
- Expanding Distance Learning
- Developing the Gateway Student Success Center
- Enriching the undergraduate learning experience and support for learners
- Increasing diversity
- Increasing enrollment
- Branding and marketing the University to a wide range of constituents

Northern Arizona University has robust strategic and budget planning processes that strengthen the University’s capacity to fulfill its mission. Strategic plans and annual budget cycles establish goals and priorities for the institutional investment of human and fiscal resources. The processes systematically involve campus leaders and afford opportunities for all employees, students, and external stakeholders to participate in the development of goals and prioritization of initiatives.

A strong institutional research infrastructure complements the planning and budgeting processes to produce ongoing information analysis and reporting as well as focused assessment and evaluation of operations and programs. The University has developed a culture of evidence that encourages the use of data for continuous improvement. The combination of centralized institutional research combined with numerous local assessment and evaluation practices ensure that the University can gauge its effectiveness and identify areas for improvement.
The University has identified four priorities for strengthening its planning and assessment in the future:

1. Extend strategic and budget planning cycles to lower levels within the organization. The University intends to integrate division and unit level strategic planning into annual planning and budgeting processes.

**PROGRESS:**
- Division strategic plans were integrated into the 2005-2006 planning and budgeting cycle.
- In 2006-2007, the University adopted a standard format for division strategic plans that more closely corresponds to the format of the University strategic plan.

2. Identify and implement metrics to measure progress on strategic goals on an ongoing basis. Over time, the University will develop metrics for all strategic goals.

**PROGRESS:**
- The strategic plan, currently in development, links goals to initiatives and metrics.
- In 2006-2007, division strategic plans include metrics to gauge progress toward goals.

3. Increase the links between strategic planning and performance goals for top University leaders. The University’s strategic planning goals will then provide guidelines for division and unit leaders to conduct evaluation.

**PROGRESS:**
- Division vice presidents and high level leaders within divisions have performance goals.
- In 2007, leadership evaluations will consider progress towards performance goals.

4. Track investments and their effects to enhance accountability and achievement of strategic goals.

**PROGRESS:**
- Starting in fiscal year 2007, strategic investments will be tracked.
- Annual reports of accomplishments and outcomes will be expected.
Northern Arizona University’s mission is to provide an outstanding undergraduate residential education strengthened by research and graduate programs that create opportunities for students to learn through engagement, inquiry, and practice. The University makes innovative use of technology to enhance learning experiences and to deliver educational programs to students throughout Arizona and beyond. The University leverages interactions among the components of its mission to advance its goals for learning, discovery, and engagement.

The University has made great strides over the last decade in developing a strong infrastructure and fostering a culture of assessment. Multi-level assessment throughout the University buttresses the capacity to monitor outcomes and improve the quality of educational programs.

**CORE COMPONENT 3A:** The organization’s goals for student learning outcomes are clearly stated for each educational program and make effective assessment possible.

Northern Arizona University places the learner at the center of educational programs. The foundation of this emphasis is the explication of learning outcomes for both general education and all degree programs. Degree-program assessment plans and annual reports are required of all academic units and are submitted to the Office of Academic Assessment and the University Assessment Committee for regular peer feedback. Faculty members of each academic unit identify central learning outcomes for their respective degree programs and are expected to regularly assess student successes and challenges with meeting those outcomes. Faculty oversight of curricula, at both University and program-levels, assures the alignment of course-level learning outcomes with program goals and promotes faculty engagement with assessment of student learning.
Northern Arizona University has leadership, policies, and structures in place to support faculty-driven assessment of student learning. Leadership for assessment of student learning is integrated through Northern Arizona University’s central administrative, academic, and faculty governance structures. The Vice Provost for Undergraduate Studies has primary responsibility to promote assessment of student learning. Two administrative units are critical in carrying out this responsibility: the Office of Academic Assessment (OAA) and the e-Learning Center. These units are complemented by a strong, faculty-led University Assessment Committee (UAC). The Faculty Development program and Cline Library are also important components of the University’s assessment infrastructure.

The Office of Academic Assessment is led by the Director of Academic Assessment, who is also the liaison with the UAC. The Director of e-Learning collaborates with the OAA and the UAC to promote and support assessment of student learning in online courses and programs. Both the OAA and the e-Learning Center have professional staff with expertise in assessment of student learning.

Over the last nine years, Northern Arizona University has developed a stronger infrastructure and organizational culture to promote the assessment of student learning. Indicators of success include:

- Increased priority for assessment of student learning outcomes by the administration
- Increased allocation of resources, including personnel for assessment of student learning
- Increased faculty involvement in assessment of student learning
- Increased collaboration between student affairs and academic affairs with respect to assessment of student learning
- Increased awareness and communication about the value and importance of assessment of student learning
These developments are founded on four interrelated strategies that include:

- Leadership: the Vice Provost for Undergraduate Studies and the Director of Academic Assessment
- Faculty responsibility: University Assessment Committee
- Support Structures: Office of Academic Assessment, e-Learning Center, and Faculty Development Program
- Policies: degree program assessment, curriculum and program review policies

Two key policies require assessment of student learning in degree programs: assessment of student learning and academic program review. Together these policies require that degree programs identify student learning outcomes and engage in ongoing assessment of student learning. The assessment of student learning policy requires that all degree programs identify student learning outcomes and develop a plan for their assessment. Periodic academic program reviews take place every seven years for all non-accredited academic units and examine assessment practices and evidence of student learning through degree program assessment plans and annual reports. The academic program review process consequently promotes curricular improvement through assessment of student learning and external consultation.

The assessment efforts of faculty members are guided and supported most directly by the OAA and the UAC, which collaborate to provide support for institutional assessment of student learning. The office and committee provide faculty training, technical consultation to faculty and academic units for development of assessment strategies and tools, support for scholarship about teaching and learning, and guidance in formulating student learning outcomes. Resources provided to academic programs include template guides for the design of assessment plans and preparation of reports, a rubric documenting the expectations for assessment plans, an annual workshop for program writing or revising plans, and visits with program faculty and leadership.

The OAA maintains a comprehensive Web site and database displaying all degree-program assessment plans and annual reports; it serves as the clearing-house for all formal assessment of student learning. Assessment of student learning in degree programs is also supported by the Faculty Development program, which provides resources and training for faculty engaged in course design, curriculum, teaching, and assessment of student learning.

The faculty-led UAC includes faculty representatives from the University’s colleges, as well as representatives from Cline Library, Distance Learning, e-Learning Center, the University’s Yuma branch campus, and the Faculty Senate. Overseen by the Faculty Senate, the UAC promotes a culture of assessment by setting standards for assessment practice, consulting with faculty, and establishing assessment policy. Perhaps most important, the committee has provided peer...
review of degree-program assessment plans and annual reports, both to praise faculty for their assessment efforts and to suggest improvements on future plans and reports. In this way, the committee is directly involved with improving the quality of assessment efforts with direct peer feedback.

The Northern Arizona University faculty define learning outcomes for academic programs and develops plans for assessment. Responsibility for identification of learning outcomes and assessment for degree programs at all levels resides with faculty in academic units. In the case of general education, the Liberal Studies Committee is responsible for the identification and assessment of student learning outcomes on behalf of the faculty. The University Curriculum Committee defines learning outcomes for the diversity requirement. Faculty identify central learning outcomes for degree programs through the process of creating required program-level assessment plans.

When new programs are created or existing programs modified, faculty are required to identify learning outcomes as part of the regular curriculum process. Proposals for new degree programs require approval by the Arizona Board of Regents. Program proposals to the Regents must identify learning outcomes. Using a shared template, new program or program change proposals are presented to the University Curriculum Committee (undergraduate) or University Graduate Committee (graduate). These committees provide faculty peer review of curriculum plans in relation to learning goals.

Learning outcomes are also defined for every course. University syllabus policy requires faculty to present learning outcomes to students in course syllabi. Faculty curriculum committees review learning outcomes for courses when they consider proposals to change or introduce new courses at the undergraduate or graduate levels. University programs, such as Liberal Studies, and the diversity requirement, require academic units to submit master syllabi that identify learning outcomes for courses that ensure alignment of courses with programmatic learning goals.

Since 2005, most units have updated earlier assessment plans through a targeted mini-grant project overseen by the OAA. All new or revised plans are submitted to the OAA and reviewed by the UAC using a standard rubric. Likewise, the aforementioned annual reports of assessment of student learning are submitted to the OAA for posting on its Web site, and for peer review and feedback from the UAC.

Northern Arizona University’s academic programs implement comprehensive assessment plans to assess degree-program learning outcomes that incorporate multiple direct and indirect measures. Formal engagement in assessment of student learning at the degree program-level is high and increasing. The UAC conducts peer reviews of new or revised program assessment plans to provide
guidance for programs and development of effective and sustainable assessment plans. The rubric calls for multiple measures, both direct and indirect, to gauge student achievement. In spring 2006, the committee began to review annual program assessment reports using a new scoring rubric designed with assistance from the OAA.

Programs employ a wide array of direct indicators of student learning, including course-embedded surveys, degree exit and capstone assessments, and standardized tests. Degree program assessment plans also include indirect measures, such as student self-assessments and satisfaction.

A steady increase in formal assessment reporting reflects the growth of a culture of assessment among faculty. Implementation of assessment plans and reporting is comparable for undergraduate, graduate, and distance-delivery programs. At least 84% of degree programs have assessment plans filed with the OAA. In 2005–2006, a record 58 new or revised plans were submitted, largely caused by a one-time, startup mini-grant project involving 35 academic units or areas. The following table highlights the current status of assessment plans and reports on file with the OAA as of fall 2006.
Northern Arizona University’s faculty have identified and assessed student learning goals in general education. Assessment of student achievement of learning goals for the Liberal Studies Program is led by faculty from across all disciplines who serve on the Liberal Studies Committee. Since the Liberal Studies Program was adopted in 1999, University faculty refined learning goals for the program and experimented with a variety of direct assessment strategies. This ongoing effort to improve students experience and learning in the Liberal Studies curriculum aligns closely with the University mission to offer a rigorous, high-quality education to all students, both within and beyond individual degree programs.

As reported in the Introduction, the assessment of student learning through the Liberal Studies Program has evolved through trials of different strategies. The program was designed with a plan for an e-portfolio based assessment system. The initial effort to implement a portfolio system was beset by a number of challenges, including limits of the technology infrastructure at the time it was considered. Ultimately, the portfolio system was abandoned. Subsequently, the Liberal Studies Committee embraced strategies rooted in course-embedded artifacts. For example, rubrics for essential skills were piloted with artifacts sampled from Liberal Studies courses in spring 2006.

Direct assessment of course-embedded artifacts of student work is one component of the multiple strategies that Northern Arizona University employs to assess general education. Audits and reviews of course syllabi are conducted to ensure the maintenance of curricular alignment. The director of the composition program oversees systematic assessment of student learning in the composition course (ENG105). The results are reported to composition instructors and the Liberal Studies Committee. Evidence from ongoing institutional surveys and degree program assessment reports is also used. In 2005, the University joined a multi-institution pilot program to use instruments developed by the Collegiate Learning Assessment Consortium to sample the fall 2005 freshman class. A sample of students will be studied each year until graduation.

<table>
<thead>
<tr>
<th>Degrees Within Assessment Plans and Reports</th>
<th>Undergraduate Degrees</th>
<th>Graduate Degrees</th>
<th>Dist. Learning Degrees</th>
<th>Total Degrees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degrees requiring plan/report</td>
<td>N 90 %</td>
<td>N 57 %</td>
<td>N 39 %</td>
<td>N 147 %</td>
</tr>
<tr>
<td>Degrees with Plans (as of April, 2007)</td>
<td>82 91%</td>
<td>41 72%</td>
<td>28 72%</td>
<td>123 84%</td>
</tr>
<tr>
<td>Degrees reviewed by UAC</td>
<td>74 82%</td>
<td>22 39%</td>
<td>18 46%</td>
<td>96 65%</td>
</tr>
<tr>
<td>New/Revised plans 2005</td>
<td>57 85%</td>
<td>18 39%</td>
<td>9 23%</td>
<td>75</td>
</tr>
<tr>
<td>Degrees with Reports</td>
<td>52 58%</td>
<td>27 47%</td>
<td>9 23%</td>
<td>79 54%</td>
</tr>
<tr>
<td>Degree reports reviewed by UAC since 2006</td>
<td>35 39%</td>
<td>15 26%</td>
<td>12 31%</td>
<td>50 34%</td>
</tr>
</tbody>
</table>
Northern Arizona University’s triangulated strategy for assessing learning in Liberal Studies relies on process (indicators of alignment and effective educational practice), direct and indirect measures at the course and program-levels.

- Ongoing audits and reviews of syllabi to ensure alignment (process)
- Sampling of course embedded assessments based on rubric evaluation for skill and knowledge related outcomes (direct)
- Collegiate Learning Assessment—longitudinal pilot (direct)
- Capture of relevant data from university surveys such as NSSE (indirect and direct)
- Graduating Senior and Alumni Surveys (process and indirect)
- Capture of relevant data from degree program assessment reports (indirect and direct)

Assessment results are broadly disseminated to program faculty, academic leaders, the university community, students and the public at large through online posting of reports. Assessments of student learning are disseminated among faculty in degree programs, academic unit leaders, and deans. Assessment results for general education are regularly reported to the faculty members of the Liberal Studies Committee and periodically to the University Curriculum Committee and/or Faculty Senate. All reports of assessment of student learning in academic programs are reviewed by the University Assessment Committee, which is a representative body of faculty. Most key governance committees, including those that operate through the Faculty Senate, have student membership. Student representatives are usually leaders of the student government Associated Students of Northern Arizona University.

Reports based on institutional surveys (such as the National Survey of Student Engagement and the graduating senior survey) are sent to university leaders, academic leaders, and faculty. Academic and other program assessments are periodically reported to leadership groups, such as the Council of Deans and President’s Cabinet, for discussion. Assessment of programs and student outcomes, conducted within student affairs and residence life are also disseminated to University leaders and, as relevant, to faculty.

All assessment documents are posted at Web sites, which make the information available to the entire University community and to the public. Most assessment documents and reports are found on the Office of Academic Assessment, Planning and Institutional Research, and Student Affairs Web sites. Staff in all three offices also provide printed documents on request.

Faculty and academic leaders regularly review evidence of student learning for academic programs and use assessment results to guide curriculum and
program development, changes in instructional practices, and enhancements to student support. Assessment reports are reviewed regularly by faculty and academic leaders. Mechanisms through which assessment results are disseminated and reviewed vary across departments, schools, and colleges. In some units, assessment results are reported to and discussed by curriculum committees. Other areas have formed assessment committees that are responsible for conducting and reporting assessment. Regardless of structure, assessment findings guide faculty as they seek to improve educational programs.

Academic leaders and University curriculum committees encourage the use of assessment results to guide curriculum development. In 2005, curriculum proposal forms were modified to solicit information from academic units about assessment results that may have influenced proposed changes to courses or curricula. On a periodic basis, academic program reviews involve academic leaders, faculty, and external consultants in an examination of assessment results for degree programs over a seven year period. Externally accredited programs present comprehensive assessment results to specialized accrediting groups according to prescribed schedules.

In addition to regular, ongoing assessment practices, the University deploys special committees and task forces with broad representation to study and assess particular facets of organizational structure, programs, or operations. Task force reports are widely disseminated and frequently present recommendations for improvements that guide efforts across organizational boundaries.

Task Forces Assess University Programs and Structures

- Task Force on the Freshman Year
- Research and Graduate Education Task Force
- Blue Ribbon Task Force on Academic Restructuring
- Advising and Career Planning Task Force
- Affirmative Action and Fair Practice Task Force

Recommendations of the Task Force on the Freshman Year

1. Establish a clear institutional priority and culture focused on student learning and success with recognition of the importance of the freshman year and the special needs of freshmen.

2. Create a Freshman Year Coordinating Council with reporting lines to Academic Affairs and Enrollment Management and Student Affairs to facilitate coordination, planning and assessment of the freshman year experience.

3. Expand Supplemental Instruction and other course-linked academic support and assess the impact of different academic support strategies on student success.
4. Focus orientation and advising during the first year to promote retention; increase advising support for first-year students with greatest needs.
5. Strengthen college-based advising.
6. Expand summer bridge programming opportunities to increase student diversity and academic preparation.
7. Provide institutional support for the Student Support Services (SSS) program to enable the program to serve more students than is currently possible with existing grant funding.
8. Increase faculty development focused on teaching and mentoring freshmen.
9. Research and expand promising programs that increase student engagement with the University and facilitate personal connections with students.
10. Adopt the one-year retention and four- and six-year graduation rate goals for both the five-year and ten-year time-periods.
11. Fill gaps in institutional data related to high school credentials and tracking program participation to allow for further research.

The University employs multiple surveys of students and graduates as evidence of institutional effectiveness. The Office of Planning and Institutional Research (PAIR) conducts multiple, regular surveys of students and graduates, results of which are reported widely to internal and external stakeholders. Northern Arizona University participates in surveys to compare University measurements to national and peer norms. These include the Cooperative Institutional Research Program (CIRP), the College Student Inventory (CSI), the National Survey of Student
Engagement (NSSE), the Faculty Survey of Student Engagement (FSSE), the Higher Education Research Institute’s (HERI) faculty survey, and the National Study of Instructional Costs and Productivity (Delaware Study). The Office of Planning and Institutional Research (PAIR) develops, administers, and collects data from surveys of sophomores, graduating seniors, and alumni. It should be noted that beginning in 2004 the Graduating Senior Survey changed from a telephone survey with approximately 400 respondents each year to a web survey with approximately 1300 respondents annually. The surveys and other studies help institutional planning by providing information to University leaders who rely on this information to make decisions, by contributing to the assessment of student learning, by aiding in the evaluation of programs, and by helping improve quality in all of these areas.

PAIR conducts research to track important indicators of institutional operations and effectiveness. Most salient among the many measures of institutional effectiveness are retention and graduations rates, years to degree, and a set of Regents’ Accountability Measures (RAM) that are reported annually to Arizona Board of Regents. PAIR also tracks student success at the course level to identify problem areas, promote further investigation by faculty, target academic support programs (for example, supplemental instruction), and to guide academic support program development.
The University tracks student retention and graduation rates as evidence of institutional effectiveness. The CIRP Freshman survey of incoming students shows that most students enter Northern Arizona University with the goal of earning a degree from this university. Nonetheless, a number of factors may undermine student success and persistence. Northern Arizona University strives to understand what causes undergraduate attrition and to promote retention and timely progress towards degree completion. Increasingly, retention and graduation rates are a top priority for the University.

Retention of the fall 2005 freshman cohort was 72%. One-year retention of transfer students is a bit higher at 74%. Retention of students on the Flagstaff campus is higher than that for students at other locations. As is the case nationally, retention and graduation rates are higher for female students. The University compares favorably to its peers for four- and six-year graduation rates among first time freshmen cohorts. Four- and six-year graduation rates are higher than predicted based on institutional and student characteristics (Collegiate Learning Assessment). First year retention has increased over the long term and has been relatively stable in recent years at a level somewhat less than average for moderately selective institutions. Increasing retention is a top priority of the University.

<table>
<thead>
<tr>
<th>Graduation Rates</th>
<th>Educational Trust</th>
<th>NAU Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Similar Peers List</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6-Yr Graduation Rate (FTFT Cohort)</td>
<td>43%</td>
<td>44%</td>
</tr>
<tr>
<td>4-Yr Graduation Rate (FTFT Cohort)</td>
<td>22%</td>
<td>25%</td>
</tr>
<tr>
<td>5-Yr Graduation Rate (LD Transfers)</td>
<td>51%</td>
<td>56%</td>
</tr>
<tr>
<td>4-Yr Graduation Rate (UD Transfers)</td>
<td>71%</td>
<td>75%</td>
</tr>
</tbody>
</table>

| Retention Rate | Moderately Selective Peers | NAU Goal |
|               | 1-Yr Retention* |          |
|               |                  |          |
| One-Year Retention Rate (FTFT Cohort) | 67% | 66% | 67% | 70% | 70% | 70% | 72% | 74% | 77% |

*Consortium for Student Retention Data Exchange, 2005-06

Studies of retention suggest that preparation for college, indicated by ACT (American College Testing) or SAT (Scholastic Aptitude Tests) test scores, high school grade point average, and enrollment in remedial courses, are the best predictors of academic success and university retention. Students earning a grade point average of 2.5 or greater in the first year of college are retained at a rate of 79%. However, this variable does not explain variations in first year retention. Indeed, a majority of students who leave after their first year are in good academic standing.
A 2002 study found that most students who left Northern Arizona University after the first year reported positive experiences with the University, but indicated dissatisfaction with the weather, the Flagstaff community, the cost of living in Flagstaff, and other location-related factors. Students who have a greater breadth of engagement—such as athletes, honors students, on-campus residents, and learning community participants—are more likely to persist in their studies at Northern Arizona University. All of this points to the importance of fostering community engagement and connections at the University. In an effort to reach these ends, Northern Arizona University is:

- Enhancing and developing programs for freshmen to increase opportunities for meaningful interaction with faculty, staff, and peers, such as the Summer Reading Program, New Student Orientation, Freshman Year Experience 101, and First Year Seminar
- Expanding living learning communities
- Strengthening collaboration and coordination between academic and student affairs
- Developing college-based activities and programs to engage students sooner with faculty and other students in their major field of study
- Refining recruitment strategies to attract students who are a better fit for Northern Arizona University

Institutional research also indicates that failure (D or F) or withdrawal from a single course in the first year decreases the likelihood of persistence. These findings suggest two broad strategies for increasing retention: (1) decrease DFW rates for freshman courses; (2) increase academic success of less prepared freshmen.

Informed by this assessment, the University is pursuing the following initiatives:

- Course-linked academic support program targeting high DFW courses for freshmen and sophomores
- Faculty development programming and support for faculty research focused on high DFW courses
- Support for course redesign targeted to large enrollment, high DFW courses
- Expanded faculty development focused on learning and strategies for fostering high achievement among diverse learners
- Pro-active advising and support strategies for students at-risk

The Rapid Alert Program (RAP) is an early alert advising program designed to identify students experiencing academic difficulty. Instructors work with advisors from the Gateway Student Success Center, The W.A. Franke College of Business,
Multicultural Student Center, Native American Student Services, and Student Support Services to provide collaborative academic interventions when needed.

When participating instructors notice that a student is not doing well in class or has poor attendance, the instructor sends an alert through the on-line RAP database. The assigned advisor will actively check this database and respond to instructor alerts in a timely manner by contacting the student through email or phone calls. The goal is to make contact with all students receiving instructor alerts in order to discuss their academic difficulties. Advisors provide direction, offer support and make referrals to appropriate campus resources to help students achieve academic success.

Northern Arizona University has set an ambitious goal to increase retention to 80% and six-year graduation rates for students retained after one year to 85% by 2015. To achieve this goal, Northern Arizona University seeks to increase student academic success and foster stronger connections among students, faculty, and people in the Flagstaff community. At the same time, the University aspires to achieve greater diversity. By increasing capacities, the University plans to foster greater achievement by diverse learners; to increase diversity among faculty, staff and students; to develop curricula that meaningfully engage students with diversity issues; and to develop support programs to achieve diversity goals.

The University’s commitment to diversity means, among other things, aspiring to equity in educational outcomes. Retention and graduation rates for ethnic sub-populations of students show some successes and some areas needing improvement. First year retention of first-time, full-time freshmen is highest among white and Hispanic students (71% and 70% respectively), and lowest among Native American and African-American Students (56% and 55% respectively). There are similar differences among ethnic groups for graduation rates. The retention rate among Hispanic students is a noteworthy achievement. Further study of retention and persistence among ethnic minority students is needed and will be a high priority for future institutional research.

Northern Arizona University also tracks years to baccalaureate degree, which is the basis for performance-linked funding from the state. The University inaugurated a “Finish in Four” program to guarantee that dedicated students can graduate in four years. This program establishes clear pathways to degree completion for undergraduates, encourages students to create plans and a schedule for their education, and highlights student responsibilities and commitments to promote success.
Evidence from multiple levels and types of assessment indicate that Northern Arizona University students are achieving learning goals. Evidence derived from multiple levels and forms of assessment document that Northern Arizona University is fulfilling its mission by promoting student achievement of learning goals.

- Degree program assessment reports for 2005-2006 indicate that Northern Arizona University students are achieving learning goals.
- In 2005, seniors performed above predicted levels on the Collegiate Learning Assessment. The estimate of freshmen-to-seniors improvement (value-added) for Northern Arizona University also exceeds prediction.
- Direct assessment of artifacts selected from Liberal studies courses in a number of disciplines indicate that high proportions of students have achieved the highest (“exemplary” or “good”) levels of proficiency in written (85%) and oral (76%) communication. These figures are based on a 2005-2006 pilot project that used rubric-based assessments of Liberal Studies courses.
- Graduates of programs leading to licensure and certification are successful.
- Graduates express a high level of satisfaction with their educational experience and report substantial learning gains.
- Graduates report that they are successful in gaining employment related to their fields of study.
- Individual student recognitions and accomplishments provide evidence of the institution’s capacity to support extraordinary student achievement.
Criterion 3: Student Learning and Effective Teaching

Northern Arizona University's Collegiate Learning Assessment (CLA) Results

<table>
<thead>
<tr>
<th>Scores</th>
<th>Freshmen</th>
<th>Seniors</th>
<th>Value Added</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean SAT Score</td>
<td>1080</td>
<td>1084</td>
<td></td>
</tr>
<tr>
<td>Expected CLA Score</td>
<td>1098</td>
<td>1196</td>
<td>98</td>
</tr>
<tr>
<td>Actual CLA Score</td>
<td>1103</td>
<td>1263</td>
<td>160</td>
</tr>
</tbody>
</table>

Performance Level: At expected Above expected Above expected

*Source: NAU’s CLA Institutional Report 2005-2006*

Freshmen: Based on the average SAT score (1080) of freshmen sampled at your institution, we would expect their average CLA score to be 1098. Your freshmen scored 1103, which is At Expected.

Seniors: Based on the average SAT score (1084) of seniors sampled at your institution, we would expect their average CLA score to be 1196. Your seniors scored 1263, which is Above Expected.

Value Added: Based on the average SAT scores of freshmen and seniors sampled at your institution, we would expect a difference of 98 points on the CLA. This difference is our estimate of the expected value added at your school. The difference between how your seniors scored (1263) and freshmen scored (1103) was 160 points, which is Above Expected.

Percentage of Respondents from 2006 Senior Survey

- Thinking critically & analytically: 77%
- Working effectively with others: 74%
- Learning effectively on own: 73%
- Understanding relationship between people and environment: 69%
- Developing a tolerance for diversity: 69%

*(N=1,353) Indicating Their Education Contributed to Their Development of the Following Skills:
AGGREGATE ASSESSMENT OF STUDENT LEARNING IN NORTHERN ARIZONA UNIVERSITY DEGREE PROGRAMS: AY 2005-2006

By 2005-06, enough annual assessment reports from academic units were collected to provide an adequate basis to do aggregate analysis of student learning achievements across disciplines. This report consists of the first attempt to aggregate program-level findings that is a further major step toward providing institutional-level reports on student learning.

CORE COMPONENT 3B: The organization values and supports effective teaching.

Northern Arizona University’s commitment to effective teaching is manifest throughout multiple levels of its policies, practices, and instructional culture. Above all else, faculty are unified by a deep commitment to students and their achievement. Moreover, the Arizona Board of Regents’ second of six strategic issues includes “continued emphasis on learning-centered education at undergraduate, graduate, and professional school levels,” with the goal of “customizing instruction to recognize individual student learning styles.”

The University strives to create learning experiences that engage students in analysis, application, and inquiry. Faculty research, professional, and creative endeavors enrich teaching in and out of the classroom. Faculty use technology to enhance learning activities and student engagement. Faculty scholarship about teaching and learning inform instructional practices. Support for good teaching has expanded in recent years and faculty have access to ample consultative guidance, development opportunities, and, in some instances, small grant support to pursue innovation and enhance teaching.

Support for effective teaching at Northern Arizona University begins with President John D. Haeger. The president’s philosophy statement established an institutional emphasis on a “learning-centered approach to students and student services” and a commitment to “support faculty in meeting the challenges of teaching today’s college students.” With President Haeger’s leadership, the University has expanded its Faculty Development Program, Office of Academic Assessment, and e-Learning Center—which all promote effective teaching and student learning.
Student Engagement

The following indicator demonstrates levels of Northern Arizona University student engagement for freshmen and senior students in five areas: academic challenge, active learning, interactions, educational experiences, and campus environment. In 2005, Northern Arizona University exceeded the doctoral-intensive average for all measures except the Level of Academic Challenge for first-year students.

Note: Northern Arizona University's original goal target was the mean value for all participating Doctoral Intensive institutions. As the University has exceeded that value, significantly in some measures such as student-faculty interaction, the revised goal is at or above the average for the Top 50%.

**NSSE Results 2002-2005**

<table>
<thead>
<tr>
<th>NSSE Benchmark</th>
<th>NAU’s First-year Students</th>
<th>Doc-Int</th>
<th>NAU Goal Status</th>
<th>Top 50%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2002</td>
<td>2003</td>
<td>2005</td>
<td>2005</td>
</tr>
<tr>
<td>Level of Academic Challenge</td>
<td>53</td>
<td>52</td>
<td>50</td>
<td>51</td>
</tr>
<tr>
<td>Active and Collaborative Learning</td>
<td>43</td>
<td>45</td>
<td>44</td>
<td>41</td>
</tr>
<tr>
<td>Student-Faculty Interaction</td>
<td>38</td>
<td>36</td>
<td>40</td>
<td>33</td>
</tr>
<tr>
<td>Enriching Educational Experience</td>
<td>61</td>
<td>29</td>
<td></td>
<td>27</td>
</tr>
<tr>
<td>Supportive Campus Environment</td>
<td>56</td>
<td>59</td>
<td>57</td>
<td>57</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NSSE Benchmark</th>
<th>NAU’s Senior Students</th>
<th>Doc-Int</th>
<th>NAU Goal Status</th>
<th>Top 50%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2002</td>
<td>2003</td>
<td>2005</td>
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<td>57</td>
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<td>51</td>
</tr>
<tr>
<td>Student-Faculty Interaction</td>
<td>46</td>
<td>46</td>
<td>52</td>
<td>42</td>
</tr>
<tr>
<td>Enriching Educational Experience</td>
<td>44</td>
<td></td>
<td>39</td>
<td>5</td>
</tr>
<tr>
<td>Supportive Campus Environment</td>
<td>54</td>
<td>56</td>
<td>57</td>
<td>56</td>
</tr>
</tbody>
</table>

**Degree Program Assessment Reports 2005-06**

*Student Learning Outcomes Reported At or Above Performance Goals*

<table>
<thead>
<tr>
<th>Skill Related Outcome</th>
<th>%</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analytic</td>
<td>90</td>
<td>28</td>
</tr>
<tr>
<td>Communication</td>
<td>100</td>
<td>13</td>
</tr>
<tr>
<td>Core Knowledge</td>
<td>100</td>
<td>27</td>
</tr>
<tr>
<td>Quantitative</td>
<td>100</td>
<td>5</td>
</tr>
<tr>
<td>Writing</td>
<td>81</td>
<td>52</td>
</tr>
</tbody>
</table>

Source: Office of Academic Assessment, December 2006
Emphasis on effective teaching and learning is repeated in unit and department-level mission statements that affirm the institution’s commitment to high quality teaching, learning, and student achievement. The value of teaching is further reflected in university, college, school, and department policies that guide faculty evaluation, promotion, and tenure.

Northern Arizona University faculty value teaching and utilize effective educational practices. Northern Arizona University faculty express the value of effective teaching through various survey mechanisms. The 2003 Faculty Survey of Student Engagement (FSSE) revealed that Northern Arizona University faculty equaled or surpassed peer institutions in all seven categories of student engagement in the classroom. Respondents were slightly more likely than their peers to report that students work with other students on projects during class, have class discussions or writing assignments that include diverse perspectives, and that students often or very often have serious conversations in class with students of a different race or ethnicity than their own. The 329 respondents were slightly more likely than the faculty at peer universities to report that they emphasize analyzing basic elements of ideas, applying theories and concepts to practical problems, and making judgments about the value of information.

HERI’s 2004 Faculty Survey, reveals the strong support of the University’s faculty toward teaching, demonstrating their enthusiasm for being an integral and collaborative part of a strong teaching culture. According to this survey, 85% of faculty agree that their teaching is valued by faculty in their department, faculty are interest in student’s personal problems (81%), and faculty are strongly interested in the academic problems of undergraduates (78%). The top three personal goals of Northern Arizona University faculty, identified as being very important were being a good teacher (99%), being a good colleague (93%), and serving as a role model for students (87%).
Perhaps most significant in demonstrating faculty commitment to effective teaching was their collective response to the question, “How important is it to you that undergraduates have the following experiences?” For all nine experiences, Northern Arizona University respondents reported measurably higher levels of importance than peer faculties, including experiences related to practicum, field experiences, senior experiences, independent studies, community service, study abroad, learning community participation, foreign languages, and research projects.

Qualified faculty design curricula and determine strategies for instruction. Curricula at all levels are designed, reviewed, and approved by Northern Arizona University’s regular, full-time, continuing faculty. The core faculty of the University hold tenured or tenure-track appointments (77%). They are aided by instructors, lecturers, clinical professors, and professors of practice on renewable term appointments. Collectively, the core faculty hold the terminal degree and/or have extensive professional experiences that qualify them as experts in their fields. The core faculty exercise oversight of curriculum and teaching at the department, college, and/or university levels.

The curriculum development process at Northern Arizona University involves faculty committees and academic leaders at many levels of the organization. Proposals are developed by faculty in academic units. In the case of university-wide interdisciplinary programs, faculty committees function like academic units with regard to curriculum.

Faculty oversight of the curriculum extends to course syllabi, which are reviewed as new courses are introduced or existing courses are modified. Faculty have developed a syllabus policy that prescribes what information is presented to students. Required components include student learning goals and assessments. The breadth of information required in the course syllabi enables curriculum oversight committees to evaluate the design of courses in relation to learning objectives.

Faculty in academic units decide what mix of distance and traditional, face-to-face, courses are most appropriate for their programs, and for specific courses. Courses may be designed for delivery through IITV, the Web, the traditional classroom, a technology enhanced classroom, or a combination of delivery methods and options. Departments review program delivery and instructional methodologies by periodic informal evaluation and by formal program review.

Northern Arizona University supports effective teaching and innovations in pedagogy that enhance learning through faculty development and research on teaching and learning. Over the last decade, Northern Arizona University has invested in the development of a rich array of programs and services to support faculty development to promote effective teaching and scholarship about learning, and to promote innovations in pedagogy.
Three central offices collaborate to provide faculty with resources and support to strengthen teaching and to explore innovations. The Faculty Development Program (FDP), led by a full-time director, is the most important source of numerous forms of support to faculty. The FDP has expanded programming to include workshops, facilitated discussions, showcases, mentoring, and individual faculty consultation. The program also sponsors faculty to attend teaching retreats (applications are solicited from all faculty); conducts new faculty orientation for all new faculty; annually recognizes an outstanding teaching faculty member and an outstanding advisor (nominations are open to all full-time faculty); and maintains a professional development Web site. The FDP has led Northern Arizona University’s participation in the tri-university program to promote learning-centered education. Learning-centered education and other grant-funded programs involve cohorts of faculty in year-long projects to redesign courses and pilot innovative teaching strategies.

In 2005, Northern Arizona University was awarded two grants to develop faculty awareness and to implement learner centered education approaches in classrooms:

1. Tri-University Collaboration on Learning-centered Practice: Creating Learning Communities Among Faculty and Students
2. Transforming the Freshman Year: A University Wide Program to Promote Pedagogies of Engagement

The Tri-University Collaboration on Learning-centered Practice partners the University’s Faculty Development Program, the University Teaching Center of the University of Arizona, and the Center for Teaching and Learning Excellence of Arizona State University. The Faculty Development Program accepted applications from professors interested in developing learning-centered activities for their courses.

The Transforming the Freshman Year Program identified a cohort of faculty to examine freshman learning, freshman student experiences, and learning-centered principles. The Faculty Development Program accepted applications from professors teaching freshman classes who were interested in participating in a year-long professional development program that sought to incorporate learning-centered pedagogy.
Each spring semester, Northern Arizona University holds an Assessment Fair to encourage faculty, staff, and students to display work on some aspect of assessment. The University also hosts an electronic teaching and learning showcase, and a week-long e-Learning Institute. These activities are available to faculty; some of the programs are made available to statewide faculty through interactive television delivery, and through video and audio tapes.

**e-Learning Center**

The e-Learning Center supports online and hybrid course design and development. The process for Web course development links faculty with a team of consultants and an instructional designer. They work together to embed pedagogical strategies into course design; enhance course access and navigation; and ensure assessment of student learning. All Web courses receive a final quality review to ensure access, functionality, and the alignment of learning outcomes with assessment strategies.

Blackboard Vista shells are created for all courses, enabling faculty to provide students with Web access to materials and other online learning tools. Faculty receive training in the use of Vista and help with instructional design through courses and workshops, including a Web course for faculty.

The e-Learning Center also supports research and development projects to promote improvements in instructional design, innovative use of technology to enhance student learning, and stronger assessment of student learning in electronically and traditionally delivered courses and programs. The e-Learning Center’s mini-grant and faculty fellows programs support faculty innovation and research on teaching and learning.

**Northern Arizona University evaluates and recognizes effective teaching.** The Conditions of Faculty Service (COFS) document emphasizes the importance of student-related responsibilities for faculty and establishes expectations for effective teaching. The document directs faculty to consult research on learning to promote assessment, diversity, and pedagogical advances.

The COFS is an umbrella document that serves as the foundation for policies and evaluation practices in departments and colleges. The COFS was recently revised through a two-year collaborative process involving the Office of the Provost, Faculty Senate, and deans. The new COFS will be effective July 1, 2007.

As called for by the new COFS, academic units are revising or developing policies to set standards for faculty performance in teaching, scholarship, and service that conform to discipline and professional standards, and to mission statements for their unit. Local policies governing annual retention, promotion and tenure review affirm the value that the University places on teaching and direct attention to teaching effectiveness in evaluations of faculty performance.
All continuing full-time faculty are evaluated on an annual basis. Tenure stream faculty are also evaluated for retention each year, prior to attaining tenure. Post-tenure review is linked to the annual review process. Evaluation of faculty involves peer review at the department and college levels, and independent evaluations by department chairs and college deans. Faculty evaluations and associated recommendations are routed from the dean to the provost, and ultimately, to the president.

Teaching performance is evaluated using several instruments, including student evaluation of courses (required for all courses), documentation of instructional design and practices for courses, and evidence of student performance. Evaluation of teaching is shaped by the local academic unit, which ensures that practices align with program goals and the special skills associated with different disciplines and professions. At present, the University uses variable instruments for soliciting student feedback about courses. Discussions are under way to develop a common survey instrument that colleges, departments, and faculty can elaborate or refine. At a minimum, all evaluations of faculty teaching performance must use multiple indicators, including student course evaluations.

Annual awards recognize contributions related to diversity, use of technology in the classroom or in online instruction, advising, and contribution to course or program level assessment of student learning. The Faculty Development Program gives Teacher-Scholar and Faculty Advisor awards to recognize outstanding performances in teaching, mentoring, and engagement of students in scholarship. Each of the colleges offers its own “Teacher of the Year” award to provide special recognition in their area of expertise.

The Arizona Board of Regents recognizes distinguished faculty performance in teaching and scholarship through award of the honorary rank of Regents’ Professor. Each state university conducts a nomination and selection process to generate recommendations for the Regents’ Professor rank. Board policy limits the number of faculty who may hold that rank at any given time to 3% of tenured and tenure-track faculty.

**CORE COMPONENT 3C: The organization creates effective learning environments.**

Northern Arizona University cultivates effective learning environments for students at the Flagstaff and Yuma campuses, at statewide sites, and for students enrolled in Web programs. All academic programs prepare students for life and work in the global knowledge-based economy. Assessment influences the development of curricula, instructional practices, and academic support programs to promote student achievement and to help achieve University goals.

Diverse learning environments provide students with access to a broad range of programs and services to aid them in clarifying interests, formulating educational and career plans, and developing supportive connections with peers, faculty, and staff. Diversity is also promoted at Northern Arizona University through opportunities for international study and internships, for service learning, and for
participation in research, and in other creative or professional activities. The University Honors Program offers a challenging program of study to talented and highly motivated undergraduates and promotes the value of academic achievement. Graduate students are supported by programs for orientation, development and training, and for assistance with grant proposal development.

With leadership and support from the University’s e-Learning Center, Cline Library, Information Technology Services, and the Provost’s Academic Computing Advisory Committee, technology is deployed in varied ways to enrich educational environments for learners. The University’s recent Request for Institutional Change documents the extensive array of Web degree and certificate programs, and the extensive support services available to both students and faculty. On-campus learners also benefit from technology—allowing them to interact with a broader range of information, people, cultures, and ideas.

**Assessment results inform improvements in curriculum, pedagogy, academic support, and co-curricular programs.** As described in an earlier section of this chapter, Northern Arizona University made significant progress in developing assessment systems at degree, program, and institutional levels. The ultimate goal is for assessment results to help produce improvements to curriculum development, pedagogy, and academic support programs. To achieve that goal, the University is promoting assessment by forging more explicit links among assessment, curriculum development, faculty development, and academic support programs.

Annual assessment reports are integrated into the academic program review process. This allows faculty to reflect on the cumulative record of assessment as a measure of program performance. External and faculty consultants review evidence of student learning over time and consider other measures of program contributions and operations to evaluate the quality of academic programs.

A study conducted by the Department of Mathematics and Statistics examined whether academic outcomes in lower division mathematics courses were different in classes taught by graduate assistant instructors versus classes taught by regular full-time faculty. The findings indicated:

- No significant different in average student graduate point averages or the drop-failure-withdraw (DFW) rates
- Regular full-time faculty were rated slightly higher by students in course surveys

Assessment also influences development and improvement of academic support and co-curricular programs for students. Analysis of academic performance and progression guided the development of learning support programs targeting courses. A study of student performance in courses with high rates of failure and attrition,
beyond the first year, led to the creation of the Office of Course Linked Academic Support, which leads the expansion of supplemental instruction and develops other forms of academic support for courses to increase rates of student success.

Ongoing and focused assessment also prompted planning to expand living-learning communities and other freshman year programming. Assessment of

Using current reporting methodology, the official Northern Arizona University retention rate for fall 2004 was 70%. Retention for these categories was computed using 2004 reporting convention. (Previously, a student studying abroad their sophomore year or online, were not counted as retained; they now are.)

<table>
<thead>
<tr>
<th>Retention of Living Learning Communities – Fall 2004</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outdoor Rec (n=11)</td>
</tr>
<tr>
<td>Business (n=29)</td>
</tr>
<tr>
<td>Overall NAU Retention (n=2,278)</td>
</tr>
<tr>
<td>Forestry (n=7)</td>
</tr>
<tr>
<td>Ecohouse (n=5)</td>
</tr>
<tr>
<td>Total/Average of all Living Learning Communities (n=218)</td>
</tr>
<tr>
<td>Education House (n=18)</td>
</tr>
<tr>
<td>Outdoor Rec Reilly (n=18)</td>
</tr>
<tr>
<td>Honors (n=109)</td>
</tr>
<tr>
<td>Hotel Restaurant Management (n=21)</td>
</tr>
</tbody>
</table>

First Year Retention for First Time, Full Time Freshman Cohorts

<table>
<thead>
<tr>
<th>1998-2005 Average Successful Transition and Academic Readiness (STAR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
</tr>
<tr>
<td>Asian American</td>
</tr>
<tr>
<td>Hispanic</td>
</tr>
<tr>
<td>Native American</td>
</tr>
<tr>
<td>White</td>
</tr>
</tbody>
</table>
academic advisement and employment services offered by the Gateway Student Success Center led to improvements in services. For the division of Enrollment Management and Student Affairs (EMSA), assessment involves a broad range of qualitative and quantitative activities used to gather data, conduct analysis, and generate information to better understand:

- Student behavior, learning, and satisfaction
- Support programs
- The overall effectiveness of the division and/or the institution in general

Assessment efforts in EMSA are led by a full time assessment coordinator, one graduate assistant, and a team of departmental representatives. Surveys administered regularly by the Office of Planning and Institutional Research generate data rich with evidence of student experiences, satisfaction, and needs. These data are reported widely and used by units throughout the University to strengthen services and programs.

Northern Arizona University provides an environment that supports all learners and respects diversity. Promoting and celebrating diversity and cultural awareness are core values at Northern Arizona University, which hopes to “achieve multicultural understanding as a priority of educational and civic life.” These values guide the University’s overall goal and commitment to “foster a culture of diversity” among students, faculty, staff, and in communities beyond the campus.

The commitment to diversity implies effectively educating diverse learners. In pursuit of this goal, faculty must be concerned with pedagogy and curriculum designed for diverse and nontraditional learners. The Liberal Studies Program and the diversity requirement for undergraduate degree program demonstrates efforts to ensure that curricula promotes diversity.

Northern Arizona University’s Interdisciplinary Programs Focused on Diversity

- **Women’s Studies Program** is interdisciplinary, with a particular focus on gender and the Colorado Plateau, U.S. ethnic and indigenous women, and transnational feminisms.
- The **Applied Indigenous Studies (AIS)** major combines contemporary tribal management skills with respect for indigenous culture, knowledge, values, and beliefs. Students combine classroom education and traditional tribal knowledge to work effectively within indigenous communities.
- A primary goal of the **Ethnic Studies Program** is to encourage students to become more aware of the ethnic and culture-based dimensions and applications of their particular major fields.
• **Southwest Studies** is an interdisciplinary program that examines relationships between people and the places in the Southwest. It provides students from all backgrounds with the opportunity to study the region from environmental socio-cultural, humanistic, and inter-disciplinary perspectives.

• **Asian Studies** is an interdisciplinary minor program that engages students in the study of arts, geography, history, languages, politics, and religions of Asian cultures. Northern Arizona University also has exchange programs in Asia and the Middle East through which students may earn credits.

• **The Minor in Latin American Studies** aims to provide a broad cross-disciplinary familiarity with the Latin American region through multi-disciplinary course work.

At Northern Arizona University, a multi-cultural focus is woven throughout an array of student support programs. In designing programs and training staff, offices providing services to all students are expected to consider diversity among those they serve. These programs include:

• Student Support Services related to the federal TRIO (Technical Research for Information Operations) program—providing support and mentoring to first generation, low income students.

• Multicultural Student Center, which supports ethnically and culturally diverse students and promotes their inclusion in classroom and campus life.

• Disability Resource Center to advocate for disabled student and staff in accommodating the needs of diverse learners.

• Native American Student Services to support Native American students in the transition process to academic and university life.

• Center for International Education, which facilitates international student enrollment and transition to life on campus and in Flagstaff.

**Northern Arizona University degree programs are augmented by the University Honors Program and Center for International Education.** The University Honors Program offers students an opportunity to pursue a more academically challenging course of study that emphasizes interdisciplinary inquiry, writing, and leadership. The University Honors Program enrolls approximately 500 students. Most reside in the Cowden Living Community where the program’s administrative offices, faculty, and advisors are located. The Honors experience is based on small, interactive classes that often fall outside of, or cut across, traditional disciplinary boundaries and enhance close collaboration between students and faculty.

Each year the Honors Program hosts an Honors Symposium, where students present research, papers, readings, art, or creative performances. Honors students are
encouraged, but not required, to complete a thesis and to seek-out other academic and international opportunities. Honors students receive help in making applications and preparing for interviews related to prestigious fellowships and scholarships. Support for student research and creative work is offered through a program endowment.

Northern Arizona University is committed to international education as a fundamental part of general and specialized university studies. Built on the premise that to be educated is to be better prepared for the social, political, technological, and economic realities of a culturally diverse, highly competitive, and interdependent world, the Center for International Education strives to ensure that international education is accessible to all academically qualified students, regardless of background. The center fosters an educational environment that increases international awareness; an awareness that truly appreciates and seeks to better understand the meaning and value of diversity through the recruitment and support of international students and in the development of international study opportunities.

**During the Spring 2006 semester, the Center for International Education served 406 students, with 130 students enrolled in undergraduate programs, 111 students enrolled as exchange students, and 78 students in graduate programs. Six countries with the most students enrolled included: Japan with 33, China and Germany having 32 each, Malaysia with 21, and Canada and Saudia Arabia each with 16. The 2006-2007 academic year brought 17 faculty to Northern Arizona University, 16 from the Fujian Normal University Faculty Mentor Program and one Chinese language instructor.**

**Collaboration among academic leaders, faculty, and student affairs professionals creates a learning environment rich with co- and extra-curricular programs that promote student engagement and learning.** One of Northern Arizona University's goals is to provide an outstanding residential undergraduate education on the Flagstaff campus. Achieving that goal means cultivating and coordinating student experiences and learning in and out of the classroom. The University’s learning environment is enriched by collaboration among academic leaders, faculty, and student affairs professionals. This collaboration creates and sustains numerous programs that aim to extend learning well beyond the classroom and fully engage students in all the benefits of a residential campus.

New Student Orientation introduces undergraduates on the Flagstaff campus to opportunities for social, intellectual, and service activities. Welcome Week features the Summer Reading discussion event, a club and organization fair, a University-wide block party, and sports events. A full array of student organizations, Greek Life, and an active student government Associated Students of Northern Arizona University (ASNAU) provide structured experiences for student social life. Student honorary and service organizations promote volunteerism and engagement with the local community.
Students are introduced to academic life with the Summer Reading discussion, held prior to the start of instruction. Freshman Connections residence halls offer close proximity to staff and faculty, academic support, and specialized programming to freshman resident students to aid their transition to a college learning environment. Residence Life professionals cooperate with academic programs to produce exploration sessions that bring faculty into residence halls where they discuss degree programs with undecided students. New students are encouraged to enroll in Northern Arizona University’s Freshman Year Experience Program. The Orientation Seminar (FYE 101) offers a one credit hour introduction to university life taught by peer mentors.

Student athletes at Northern Arizona University are assisted with and provided the opportunity to earn a degree while having the privilege to represent Northern Arizona University in intercollegiate competition in the NCAA Division 1 Big Sky and National Independent Conferences. When arriving at Northern Arizona University, student athletes are given the *Student-Athlete Handbook* that outlines academic expectations and the resources available to them as well as other important academic and athletic policies. This *Handbook* is also available to student athletes on the Athletic Department’s Web site. Reports for student athletes can be found on the NCAA’s Web site. Additional information is in the Arizona Board of Regents book of meetings and available publicly on the ABOR Web site.

Northern Arizona University’s seven Living Learning Communities bring freshman students with common academic or other interests together in residential settings offering focused programs to ease their transition to campus life. The largest (100 students), Cowden Learning Community, is affiliated with the University Honors program. Course-pairing ensures that learning community members have some common academic interests and experiences. Faculty partner with Residence Life professionals to design co-curricular programs for each of the learning communities, which currently enroll nearly 250 students. Expansion of planned learning communities is under way. By fall 2007, the University hopes to have at least 800 students participating in Living Learning Communities:

- **Business**
  - Sechrist Hall
- **Education**
  - Cowden Hall
- **Forestry “Tree House”**
  - Reilly Hall
- **Eco House (Sustainability)**
  - Cowden Hall
- **Hotel Restaurant Management**
  - Sechrist Hall
- **Outdoor Recreation**
  - Reilly & McConnell
- **University Honors Program**
  - Cowden Hall

*Being on an athletic scholarship is truly a dream come true. I feel blessed everyday that I am privileged enough to be able to continue my education while meeting great friends, competing at high levels, and being supported by such a dedicated athletic program.*

Sophia C.
Student Athlete
Northern Arizona University provides academic support services and programs to promote student learning and academic success. Northern Arizona University provides a wide range of academic support services and programs to promote student learning and academic success. Support is available to students across the spectrum of disciplines. Programs provide options for individualized or group-based assistance. Most services are available to students on the Yuma branch campus, through distance learning sites around the state, or on the Web and include:

- Learning Assistance Centers that provide academic tutoring, study skills training, and other academic support programs
- Class-Linked Academic Support offering supplemental instruction and other course-linked academic support programs
- Online tutoring: AZTutor is a comprehensive, collaborative academic support program developed and offered by the three state universities in Arizona
- EPS101 (Academic and Personal Development) teaches time-management and study skills, communication skills, and the use of university resources, in addition to career exploration to first year and probationary students
- The Counseling & Testing Center helps enrolled students adjust to university life by providing in-person individual and small group counseling
- The Gateway Student Success Center offers mini-courses and Web resources and tools for self-assessment, academic skills, the exploration of student interests, and employment services
- In addition to the full services offered at the 37 statewide locations off the Flagstaff campus, Distance Learning provides centralized advising and student services by telephone, email, and via the Web site and instant messaging

Northern Arizona University's academic advisement and career services focus on student learning, including the mastery of skills required for students success. Academic advisement and career planning services aid student success. In 2003, the Gateway Student Success Center opened to offer centralized academic advising and career planning for first year and transfer students. The Center helps new students with enrollment and advisement and offers academic advising for freshmen, undeclared students without majors, and transitional students. Career counseling and employment services are offered to all students, undergraduate and graduate.

Since its inception in 2003, the center became the leader for lower division undergraduate academic advisement across the University. The center promotes student success, retention, and progress towards degree completion. It also coordinates advisement for students on academic probation and offers several retention programs, such as the Student Readiness Inventory, Rapid Alert Program, and Finish in Four program.
At the end of the first year, students with declared majors switch to college-based advisement programs. Advisement structures vary across campus. For most undergraduate students, faculty provide advisement exclusively or in cooperation with professional advisement staff. Faculty also provide advisement, supervision, and career mentoring for graduate students.

Distance Learning provides advisement to students enrolled in statewide campuses through professional or faculty advisors on site. Some academic programs provide advisement directly through faculty and professional advisors on the Flagstaff campus. The University’s *Request for Institutional Change* document describes the extensive advising and academic services available to Web students through the Flagstaff Service Center. The University’s Yuma branch campus also offers a full array of advising and academic support services on its campus.

The perception of 507 sophomore students in a 2006 survey indicated strong support for current directions with academic advising at Northern Arizona University.

80% of the respondents claimed to be satisfied with the academic advising services they had received. These are encouraging results and demonstrate marked improvement, given that only 69% of sophomores were satisfied with advising in 2003, and 58% in 2002.

In 2004, the Advising and Career Planning Task Force was charged with improving advising in both the context of colleges and the University. Their task was to outline distinctive roles for faculty in regard to academic and career advisement. The primary charge of the task force was to compile information about the advising infrastructure across campus and recommend strategies for improving it. They also considered the role of advising in student retention and progress toward degree completion; the campus-wide delivery of developmental advising; the communication and coordination among the Gateway Center, colleges, academic units, and faculty advisors; and the assessment and evaluation of professional and faculty-advisor performance.

Following a year-long effort, the task force produced its report with recommendations in fall 2006. Actions to implement the task force’s recommendations are now under way.

**ADVISING AND CAREER PLANNING TASK FORCE RECOMMENDATIONS**

- Develop a University-wide mission statement and goals for academic advisement
• Develop an advisor training program for professional and faculty advisors across the University
• Develop a common instrument and protocols for assessment of advising in all University units
• Strengthen systematic communication of information relevant to advisement and services to students
• Increase professional advising support across campus units; work to establish alignment of titles, responsibilities, and compensation for professional advisors; and clarify faculty responsibilities for undergraduate advisement

Northern Arizona University employs technologies to enhance effective learning environments and student learning. Since 1997, Northern Arizona University has developed initiatives to expand the use of technology to enhance student learning. Evolution of the University’s Distance Learning programs expanded the use of Interactive Instructional TV (IITV) and the Web to deliver courses. These and other communication and information technologies support courses on the Flagstaff, Yuma, and other statewide campuses to enrich learning activities in traditional classrooms. One of the goals of the Technology Research Innovation Fund is to train students in the use of information technology. The e-Learning Center also supports research, development of infrastructure, and assessment of learning in electronic environments.

The Arizona Board of Regents offers support for the growth of Distance Learning by endorsing Northern Arizona University’s mission statement: “To
provide an outstanding undergraduate residential education strengthened by research, graduate and professional programs, and sophisticated methods of distance delivery.”

Further support for growth in this area is found in the University’s goal to “Offer a rigorous, high quality education to all students…Place learner needs at the center of our academic and service planning, policies, and programs…[and] Provide all qualified students with access to higher education.”

Electronic course delivery throughout the state offers opportunities to create programs that are more economically or pedagogically feasible at a single location by virtually aggregating students from many locations. Web programs also afford the greatest flexibility for students who may be place-bound or who have hectic schedules that prevent them from enrolling in traditional classes. The most advanced online and IITV technology are needed to produce high quality distance learning courses that uphold the same high standards found in Northern Arizona University’s traditional classrooms and on the Flagstaff campus. Consequently, the University adopted the Blackboard/WebCT Vista course management system in 2006. Since fall 2006, every course at Northern Arizona University has an online Vista shell to allow instructors to offer syllabi, course material, email communication, and discussion opportunities. This promotes expansion of online course support by making e-learning services and support available to all faculty and students. Blackboard Vista also provides better opportunities for more advanced assessments of student learning in electronic environments.

**CORE COMPONENT 3D: The Organization’s learning resources support student learning and effective teaching.**

Northern Arizona University offers numerous forms of learning resources to promote learning and teaching. The University’s Cline Library offers important opportunities for learning and discovery. Buildings and facilities on the Flagstaff, Yuma, and other statewide locations support effective teaching and enhance student learning. Partnerships extend University learning resources by creating opportunities for experiential learning through field activities, internships, and clinical placements.

**Northern Arizona University assures access to the resources necessary to support learning and teaching.** Cline Library is the University’s most important resource for teaching and learning. Greatly expanded in 1991, and named for long-time northern Arizona resident and benefactor Platt Cline, the library has become a source of pride for faculty and students alike. The mission of Cline Library is to support the curricular, research, and community service goals of Northern Arizona University and its
constituents. Offering an irreplaceable and crucial center for learning and discovery, the library offers services, instruction, and timely access to both print and electronic information and collections. The collections, both physical and electronic, as well as reference services and student support, are available to students at a distance through a well-developed process.

Cline Library annually licenses hundreds of journals and other electronic information to support study and research by Northern Arizona University students, faculty, staff, and to offer the same opportunities to faculty, staff, and students at the nearby Coconino Community College. Currently, the University community enjoys access to articles found in nearly 20,000 journals and newspapers. Upon request, the library also borrows to make available materials not included in Cline Library print or electronic collections. In addition, Cline Library’s Special Collections and Archives contain irreplaceable photographs, manuscripts, oral histories, and motion picture footage documenting the natural and cultural features of northern Arizona and the Colorado Plateau region.

Cline Library’s success in continuing to improve its services results, in part, from creating an Operating Plan Working Group. This Group and its plan explicitly define how library goals and services relate to the seven University goals and priorities, which are all dedicated to teaching and learning.

The facilities of the University’s Flagstaff, Yuma, and statewide locations offer diverse and state-of-the-art learning spaces. Among the learning facilities available to faculty and students are classrooms equipped with information technology, well-equipped science and engineering laboratories, computer labs, clinical laboratories, collaborative workspaces, media facilities, and an observatory. Informal spaces for academic and co-curricular learning activities are available throughout the University’s many campuses.

Information Technology Services (ITS) and decentralized services effectively support networked computers to perform administrative and instructional work at the University. The University pursues a goal of computer and software integration that increases efficiency, access, and functionality for multiple systems and applications. The development of the MyNAU portal enhances the access and navigation for learners and employees. The Flagstaff campus has computer labs in residence halls, learning assistance centers, and in numerous academic buildings. The Yuma branch campus and most distance learning sites offer computer labs that are also used for instruction. Expansion of wireless service on the Flagstaff campus is a top goal for the future development of information technology learning resources at the University.

Northern Arizona University is building physical capacity for the future through recent and ongoing building and renovation projects. New and renovated buildings have contributed significantly to the quality of formal and informal learning spaces at the University. The College of Engineering and Natural
Sciences (CENS) benefited recently from a newly renovated and expanded engineering building, a new biology building, and a new chemistry laboratory building. The Applied Research and Development building, which houses key laboratories and institutes as well as the Office of Grants and Contract Services, was completed in 2007. In 2004, the School of Communication moved to a greatly expanded and renovated building that includes a unique, world-wide, collaborative newsroom for student media and journalism organizations—including a student-run newspaper, radio, and television production and operations facilities.

The W.A. Franke College of Business moved into a new building in 2006. The 110,000 square foot building offers classroom space and improved information technology services. The building was designed to easily accommodate new technologies and resources as they become available. Interior spaces are specifically designed to enhance student learning and interaction in both formal and informal settings. For example, meeting spaces promote collaboration among students, faculty, and outside organizations. There are interactive breakout rooms, flexible classroom spaces, a career exploration office, information technology rooms, two large computer labs, and an enhanced student services area. This building has already established a standard for future campus building designs.

These buildings serve as educational opportunities because they utilize a variety of “green building” techniques, such as passive solar heating and lighting, efficient cooling and heating systems, and efficient water conservation systems. Students involved in environmental planning, and in various sciences and engineering disciplines, will study these buildings as illustrations of new environmental approaches to the construction of public buildings. The Applied Research and Development building is expected to be awarded a “platinum” status by the U.S. Green Building Council’s Leadership in Energy and Environmental Design (LEED), the highest rating for green building technology and design available today.

New buildings enabled the University to dramatically upgrade the quality of classroom facilities in many areas. Improving classrooms in some older buildings remains a challenge. The University was able to invest in some classroom renovations and technology improvements in FY 2007. The Master Plan provides for capital development, shaped by funding and other opportunities, to devote money for physical expansion and improvement of learning resources. The University’s FY 2008 budget request includes substantial plans for continued improvements to classrooms and academic facilities.

Northern Arizona University supports students, faculty, and staff in using technology effectively and provides effective staffing and support for its learning resources, often through strategic partnerships. The partnerships between the e-Learning Center, Cline Library, Office of Academic Assessment, and Faculty Development offices have been an important catalyst for development of the...
University’s assessment practices. These partnerships also provide numerous and ongoing workshops and training seminars offered to faculty and staff in the use of technology in the classroom and on the Web. Information Technology Services and the e-Learning Center have forged a partnership to provide lengthy training seminars and workshops related to using Blackboard Vista as a course management system. Small stipends are offered to faculty learning to use Vista. Larger stipends or mini-grants are offered to faculty to support the development of Web courses. Information Technology Services also offers a full calendar of workshops and seminars for university staff to develop and maintain technical competencies related to their work. The e-Learning Center also hosts an annual e-Learning Institute conference that provides a variety of presentations, discussions and workshops that explore using technology to advance student learning opportunities. Beginning in May 2005, the e-Learning Institute began holding sessions that address issues in the core areas of assessment, emerging technologies, pedagogies and strategies, and various tools. More immediate needs of students, faculty, and staff are met through near-instant services provided by Cline Library, the e-Learning Help Line, the Information Technology Services Solution Center, and the Academic Computing Help Desk.

Cline Library offers Resource Specialist Teams, aligned with the University’s distinct colleges, to provide assistance to the faculty. These teams help faculty develop ideas for learning-centered projects and course materials. They conduct detailed searches to find relevant lab and instructional materials, and to find appropriate assessment techniques for course projects. The teams also work closely with the e-Learning Center to design new and revised online course and degree programs. It is common for an instructor creating a new Web course or online assignments to partner with the e-Learning Center’s Web designers and Cline Library’s Resource Specialists to produce online courses of the highest quality.

**Northern Arizona University’s budgeting priorities reflect the improvement of teaching and learning as a core value of the organization.** Institutional investments in the development of learning resources and the facilities in which faculty and students interact and engage in discovery reflect Northern Arizona University’s commitment to the improvement of teaching and learning. Over the last ten years, the University has invested significantly in a wide range of learning resources to improve its ability to meet its mission.

**Teaching and Learning University Investments**

**Program/Function Investments**

- Gateway Student Success Center
- Office of Academic Assessment
- NCATE Accreditation
• Nursing Program Expansion
• VISTA Enterprise Software
• Class Linked Academic Support
• First Year Seminar Program
• College-based Advisors
• Center for International Education
• Academic Information Office
• e-Learning Center

Major Facility Investments
• Gateway Student Success Center
• School of Communication renovation
• The W.A. Franke College of Business

• Engineering and Technology Building renovation
• New Applied Research and Development facility
• New laboratory building
• Sculpture relocation and renovation
• Temporary facilities for Engineering, Anthropology, and Program in Intensive English

SUMMARY
Northern Arizona University is improving its educational programs at the undergraduate and graduate level to serve its constituencies and to prepare students for the world of the future. The quality of these programs, illustrated by student outcomes and assessment data, fulfills the University’s mission to “provide an outstanding residential undergraduate education strengthened by important graduate programs and research and sophisticated methods of distance delivery.” The University has policies, practices, and resources in place to ensure that the quality of educational programs will be sustained and improved through assessment processes and information.

Effective teaching by qualified faculty promotes student learning and success. To cultivate this critical asset, the University has expanded its faculty development program and support for faculty to conduct research focused on learning and teaching.

Dynamic co-curricular programs, programs designed for diverse learners, and multiple academic support services illustrate how Northern Arizona University nurtures achievement and success for all learners. Construction and renovation of academic facilities and investments in technology have strengthened the University’s capacity to support teaching, learning, and discovery.

The Self-study process and strategic planning initiatives have identified four future directions to strengthen student learning and effective teaching in the future.
1. Ensuring more systematic use of assessment for curricular improvement. Building on success in developing and applying degree program assessment plans, the University seeks to more deeply integrate assessment into the curriculum development and refinement processes.

**PROGRESS:**
- Curriculum change proposals include reports of relevant assessment findings
- Curriculum committee workshops involve faculty in focused dialogue about curriculum and assessment
- Closing the “assessment loop” is a top priority for the Office of Academic Assessment and University Assessment Committee
- The Office of Academic Assessment is beginning to collect evidence of use of assessment results in curriculum development.

2. Expanding academic support to students in gateway courses. Institutional research shows that academic performance of students in the first term is a critical factor in persistence. Improving student success in courses that have historically shown high rates of failure and attrition will be crucial to increase retention and, at the same time, possibly reduce costs.

**PROGRESS:**
- The Class Linked Academic Support program was launched in 2006. The director provides leadership for expanding course-based academic support and improving student outcomes throughout the University.
- The University substantially expanded its Supplemental Instruction program in 2006; additional expansion is scheduled for 2007–2008.
- Class Linked Academic Support is collaborating with the Department of Mathematics and Statistics to develop a model of course-based academic support for entry-level mathematics courses.

3. Strengthening academic advisement for students at risk or in transition. Proactive intervention for students having academic or other difficulties, especially during the first year, increases student use of academic and other support services and resources. Ensuring that students get the assistance as soon as they demonstrate a need, increases the likelihood that students will be able to get back-on-track to become successful learners.

**PROGRESS:**
- The University is piloting the use of the Student Readiness Inventory to identify students likely to benefit from particular services; data is reported to academic and other student service programs and offices.
• The Rapid Alert Program tracks students’ academic performance in high D-failure-withdrawal (DFW) courses and intervenes with individual students who are performing poorly.
• Distance Learning routinely calls students who have not logged-in to their Web courses after the first week of classes to provide technical or student service support to ensure they are successful.

4. Expanding learning communities. Freshman students participating in living-learning communities show higher rates of retention than freshman in general. Learning communities also cultivate greater student engagement and synergy between curricular and co-curricular learning.

PROGRESS:
• Expansion of learning communities is a top priority for Residence Life.
• A Learning Community Advisory Council was established in 2006.
• A plan for expansion of living-learning communities set a goal of 800 resident participants for fall 2007.
• Increased collaboration with faculty and academic leaders has supported the enrichment of learning community programming.
• Plans are being developed to support greater faculty engagement with learning communities.
Northern Arizona University promotes a life of learning for its faculty, staff and students by fostering and supporting inquiry, creativity, practice, and social responsibility in ways consistent with its mission.

Criterion Four: ACQUISITION, DISCOVERY, AND APPLICATION OF KNOWLEDGE

The complex issues facing today’s societies require creative thought and practice, and effective solutions are often realized through broad and varied collaborations. Northern Arizona University’s mission and structure facilitate teaching, learning, discovery, and engagement to promote life-long learning for students, faculty, and staff.

CORE COMPONENT 4A: Northern Arizona University demonstrates, through the actions of its board, administrators, students, faculty and staff, that it values a life of learning.

At Northern Arizona University the policies of the Arizona Board of Regents and the University, and the practices of leaders and administrators create an environment that supports continued learning. The University invests in development programs and offers material support for faculty, staff, and students to engage in expanded learning opportunities.

KEY BOARD POLICIES PROMOTING SCHOLARLY AND CREATIVE ACTIVITY OF FACULTY AND STAFF

- 6-101: Conditions of Administrative Service
- 6-107: Administrative Leaves of Absence
- 6-201: Conditions of Faculty Service
- 6-202: Academic Freedom
- 6-207: Sabbatical Leave
- 6-301: Conditions of Professional Service
- 6-902: Qualified Tuition Reduction
- 6-903: Education Assistance Plan
The Arizona Board of Regents has approved and disseminated statements supporting freedom of inquiry for the organization’s students, faculty, and staff and honors those statements in its practices. The Regents’ philosophy statements demonstrate that it values development of the individual, freedom of inquiry, and intellectual integrity. This commitment to learning and freedom of inquiry for students is reflected in the Student Code of Conduct philosophy statement.

**Student Code of Conduct Philosophy Statement**

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

The Regents’ expect and promote scholarly and creative activity of faculty and staff. Policies establish sabbatical and administrative leave opportunities for faculty and academic professionals (primarily librarians and curators), while all university system employees are eligible for tuition scholarships that allow for continued study at minimal cost. In academic year 2005-2006, through the ABOR Qualified Tuition Reduction Program, 781 educational aid permits were provided to employees for university coursework.

**FACULTY SABBATICAL LEAVE**

- **2003-04**: 27 for the academic year, 25 for one semester
- **2004-05**: 35 for the academic year, 24 for one semester
- **2005-06**: 25 for the academic year, 27 for one semester

Northern Arizona University is committed to a life of learning for faculty, administration, staff and students. The University’s mission, goals, and philosophy demonstrate a strong commitment to life-long learning. Faculty are teacher-scholars who are actively engaged in the creation of knowledge, art, and the advancement of professional practice. Policies guiding faculty appointments, evaluation, and promotion evidence the expectation of continued development and scholarly or professional activity (see the Northern Arizona University Conditions of Faculty Service, Resource Room).

Sabbatical leaves for continuing, full-time faculty (including non tenure-track faculty) support extended periods of research or professional activity. Sabbaticals
may be awarded after six years of full-time service and may be requested for a full academic year (60% salary) or one semester (full salary). A required report and presentation disseminates sabbatical work more broadly.

The University is also committed to life-long learning and development of staff and administration. The University’s training and career development programs, including monetary and non-monetary assistance, are available to employees interested in furthering their education and career development. Since 2000, the University’s employee development and training policy has required that all employees be provided the opportunity to participate in 16 hours of training. Annual performance evaluation procedures provide supervisors with guidance on formulating an employee development plan. Numerous campus units offer focused training or workshops and faculty and staff have additional opportunities for personal development and enhanced well-being through the Employee Assistance and Wellness Program. Other opportunities include:

- Information Technology Services offers over 75 computer application courses
- e-Learning Center sessions on effective and creative use of technology in teaching and research
- Employee Assistance and Wellness workshops related to individual and organizational health and well-being, customized workshops and training for departments

The addition of a training coordinator within the Human Resources department in 2004 expanded the training opportunities available to staff and administrators. New Supervisor Orientation and other workshops are provided on a regular basis on topics such as Family Medical Leave Assistance, hiring, safety, performance management, Equal Employment Opportunity/American Disabilities Act, teambuilding, managing meetings, conflict resolution, ethical decision making, managing diversity, managing change, and delegating effectively.

During FY 2006, over 1,750 participants attended 110 orientation, training, or development sessions. The administration has also supported employee participation in national development programs such as those sponsored by the Harvard Graduate School of Education Institutes for Higher Education, the American Council of Education (ACE), and the Council of Colleges of Arts and Sciences (CCAS).

Northern Arizona University strives to cultivate capacities for life-long learning in all its educational programs. Learning goals for undergraduate and graduate students encompass knowledge, skills, and values that enable and encourage self-directed inquiry and learning beyond graduation. Through Distance Learning, Northern Arizona University alumni and new students have the opportunity to learn throughout their lives as their needs change.

The Liberal Studies Program mission statement epitomizes the philosophy of preparing undergraduates for a life of learning and participation as informed citizens.
**LIBERAL STUDIES PROGRAM MISSION STATEMENT**

The Mission of the Liberal Studies Program is to prepare students to live responsible, productive, and creative lives as citizens of a dramatically changing world. To accomplish this mission, Northern Arizona University provides a Liberal Studies Program that challenges students to gain a deeper understanding of the natural environment and the world’s peoples, to explore the traditions and legacies that have created the dynamics and tensions that shape the world, to examine their potential contributions to society, and thus to better determine their own places in that world.

Northern Arizona University’s pattern of financial allocation demonstrates its commitment to a life of learning. Northern Arizona University supports faculty development and scholarly activity. The University has expanded its Faculty Development Program over the last several years and provides workshops and training specific to the teaching and research environment, as well sponsoring a New Faculty Mentoring program. Funding for faculty travel to conferences, seminars, and workshops is another form of tangible support for faculty learning. Faculty travel is funded through state budgets, locally retained revenue, and other sources. Each year the Provost’s office supplements support for faculty development/travel by dispersing funds to each college. Colleges may determine criteria for faculty to apply for funds (varying amounts) and/or disperse a set amount per faculty member per academic year.

The University sponsors faculty research and creative activity through the formal assignment of efforts to scholarship without the requirement of external funding. Statements of expectation are developed for all faculty each year. These statements document how faculty will distribute their effort among teaching, advising, service, and scholarly responsibilities and activities. In aggregate, most of the faculty effort devoted to scholarship is internally funded by the University. Across all ranks, faculty devote an average of 21% effort to scholarship, of which 71% is University sponsored (source: Research and Graduate Education Task Force report).

The University’s college deans provide start-up funding for new faculty hires. Levels of start up support vary by college and unit in relation to mission and requirements for scholarly activity in different fields. Institutional matching funds are committed to faculty who seek external funding. Matching funds may be provided by departments/schools, colleges, or the Provost. During FY 2006, the University invested $565,086 in direct institutional matches for grants. Funds for faculty scholarship focused on teaching and learning are available through the
Criterion 4: Acquisition, Discovery, and Application of Knowledge

Arizona Board of Regents Learning-centered Education and Northern Arizona University’s e-Learning Center grant programs (see Criterion 3).

The University provides critical infrastructures and services to faculty to support research, creative activity, and application for external funding. Northern Arizona University’s Office of Grant and Contract Services and the Bilby Research Center provide services to faculty for grant proposal and contract development, research operations, and dissemination. Grant and Contract Services is supervised by the Vice President for Research and services are offered to faculty free of charge. The Bilby Research Center facilitates original research by faculty, staff, and students in all departments by providing editing, illustration, video, archival research, and bibliographic services. Many of the services offered by the Bilby Research Center are provided to faculty and students free of charge.

Research Facilities
An audit of the university space utilization conducted in 2005 found that nearly 115,000 square feet of university space and facilities were dedicated to research activities. This figure does not include the 35,285 square feet of research space that was placed in service with the opening of the new Applied Research and Development and Lab Science buildings in 2007. With 6,635 square feet of wet and dry research laboratories, 2,463 square feet of field-based research facilities, and 3,790 square feet of clinics, Northern Arizona University is able to support a wide array of basic and applied research across numerous disciplines and professions. In addition, Northern Arizona University’s studios, specialized arts facilities, and performing arts venues support faculty creative activity.

In FY 2003, the legislature appropriated funds for Arizona universities to construct buildings to house research in the sciences. Northern Arizona University received authorization to bond $5.9 million dollars of debt service which funded over $77 million in research infrastructure projects. These projects included:

- Applied Research and Development Facility $18.0 million
- Engineering Technology Renovation $15.0 million
- New Laboratory Facility $35.5 million
- North Campus Infrastructure $5.0 million
- Arizona Western - NAU Yuma $4.0 million
- **Total** $77.475 million

Additionally, the University invested over $4 million of one-time capital funds from its Technology and Research Initiative Funds (TRIF) for the Applied Research and Development facility and Lab building, and $16 million of university reserves to cover additional project costs and complete these buildings with furniture, and equipment.
The grand opening of the University’s Applied Research and Development building on the Flagstaff campus marks a significant development in the evolution of Northern Arizona University’s research agenda. This facility will house research administration, services, and laboratories, and demonstrates the University’s intent to grow research with a focus on innovation and regional economic development. The University’s research efforts will expand to also include a dedicated research building on the University’s Yuma campus.

Northern Arizona University provides support for 17 research and public service institutes and centers that offer opportunities for faculty and students to participate in interdisciplinary projects. In addition, the University has five research-support service centers. The University’s research capabilities in the biosciences (including biomedicine and biotechnology) have been significantly enhanced through funding from the state of Arizona’s Technology and Research Initiative Fund. (See Criterion 2)

Funds for professional development for staff and administrators are provided by supervisors and supplemented by a central program administered by Human Resources. Through an application process, the Employee Development Support Fund program provides $40,000 annually to help fund development opportunities.

Expanded learning opportunities are also available across campus through public lectures, discussions, films, and other open invitation events. Employees also have the opportunity to gain leadership experience and broader perspectives as they fill roles in University committees and task forces such as Faculty Senate, councils for Classified Staff, Service Professionals, commissions on diversity, and ad hoc teams such as the Task Force on the Freshman Year.

Student engagement in inquiry or creative arts is supported through curriculum, competitive funding for research and travel, and student scholarship. All undergraduate degree programs feature a capstone experience that engages students in synthesis, application, inquiry, and/or practice.

Students can also participate in research activities beyond the classroom through employment, programs promoting undergraduate research, independent research courses, and collaboration with faculty. In the Fall 2006 semester, 457 student wage- and work-study students were paid through grant accounts, providing research opportunities as well as needed employment. The University has hosted National Science Foundation Research Experiences for Undergraduate Programs in Mathematics and Statistics, Biology, Physics and Astronomy, and Psychology. Other programs, such as the Beckman Scholars, NASA Space Grant, and Native American Undergraduate Research Awards support undergraduate research participation in selected disciplines. Hooper Undergraduate Research Awards provide funds to students to conduct research in any field under the supervision of a faculty mentor. Students may obtain funds from a variety of sources to support travel in order to present their scholarly or creative work. These sources include their major departments, colleges, and the Office of the Vice President for Research.
The opening of TGen North in Flagstaff with Northern Arizona University will not only boost efforts to diagnose diseases faster and strengthen the nation’s defense against bioterrorism, it holds promise of stimulating the local economy.

TGen North is an extension of the Translational Genomics Research Institute, which is headquartered in Phoenix and is dedicated to translating genomic discoveries into advances in human health. The planned opening of TGen North in the fall was announced Tuesday during a press conference at Flagstaff City Hall.

“There is incredible excitement in Washington, D.C.,” U.S. Rep. Rick Renzi said of the expanded partnership between TGen and Northern Arizona University. Renzi cited the national interest in diagnosing and curing diseases faster and in identifying biological agents to “secure your country against a foreign threat.”

Northern Arizona University researcher Paul Keim, called the “world’s leading authority of pathogen biology” by TGen president Jeffrey Trent, will be director of the new facility. Keim, Northern Arizona University professor of biology and the Cowden Endowed Chair in Microbiology, also serves as director of TGen’s Pathogen Genomics Division.

It was Keim’s work at Northern Arizona University that led to the identification of the anthrax strains used in the post-9/11 attacks. TGen North will transfer the technology from this biodefense arena to the public health arena. “At Northern Arizona University, we make astounding discoveries every day,” Keim said. “We want to take the breakthroughs in biodefense and transfer them to clinical areas. We have common diseases that are killing thousands of people every day.” Keim explained that diseases such as SARS, HIV, community-acquired pneumonia, sepsis and tuberculosis kill significantly more people than anthrax.

“This is an incredible opportunity for us to improve upon the diagnosis of infectious diseases, which hasn’t changed all that much since the techniques pioneered by Louis Pasteur 150 years ago,” Keim said. “The most promising new techniques in terms of preparing for possible pandemics or bioterrorism are the translation of genomic analysis into advanced diagnostic devices.” In addition to Keim, Stephen Beckstrom-Sternberg and Rich Posner currently have joint appointments with TGen and Northern Arizona University.

“From the start, Jeff (Trent) promised this would be a statewide initiative,” noted Northern Arizona University President John D. Haege. “It is clear the future of our economy is a science-based economy.”
University programs are complemented by college and departmental level programs that promote student scholarship and life-long learning. Examples of the many programs and efforts across campus include:

- Nearly all university academic units offer undergraduate and graduate students the opportunity to enroll in independent research courses.
- Undergraduate majors offer a required senior capstone experience that serves as the culminating work in the program.
- The College of Engineering and Natural Sciences has programs that are designed to promote the engagement of minority students in research with the goal of increasing student pursuit and success in STEM programs.
- The Department of Psychology has oriented much of its curriculum and co-curricular programming around undergraduate research. Its tag line is “Making a Difference through Undergraduate Research Experience”.
- The University Honors Program promotes student inquiry and preparation of professional presentations starting in the freshman year.
- Northern Arizona University’s Center for International Education offers opportunities for student study abroad and other international experiences that cultivate global knowledge and cross-cultural understanding.
- The Alumni association offers life-long learning opportunities for graduates.

### Student Achievements in Research and Creative Activities

- Northern Arizona University students gain prestigious national award: Julia Mackey and Robert Buscaglia were both recipients of the 2006 Beckman Scholar Award which recognizes outstanding undergraduate research students in the chemistry and biological sciences.
• Art educators receive prestigious national awards: art education senior Kim Lincoln received the 2006 Higher Education Student Achievement Award. Lincoln’s award recognizes her excellence in professional accomplishment and service. Lincoln has won several scholarships, two research awards and is published in leading art education magazines.

• At the American Pacific Coast Model United Nations conference, Northern Arizona University’s 19-member Model United Nations Club earned the Outstanding Delegation award, and seven students earned individual awards.

• Two students and two student-produced media earned honors from the Society of Professional Journalists at its Region 11. In all Northern Arizona University took home five awards

• With support from a 10-month J. William Fulbright Foreign Scholarship, Allison Austin, geology Master student, will travel to Wuerzburg, Germany, to work in the only laboratory in the world equipped to take rocks from the Mexican volcano, re-melt them and mingle the melted rock with water to trigger an explosion.

• At the College of Engineering and Natural Science’s annual Celebration of Undergraduate Research and Design undergraduate students display more than 80 poster presentations on their research in chemistry, biology, microbiology and physical or Earth sciences, while 25 teams of students will make presentations on their engineering design projects.

Northern Arizona University publicly acknowledges the achievements of students and faculty in acquiring, discovering, and applying knowledge. University-wide events are held each year to celebrate the achievements of students including:

• The Celebration of Academic Achievement – honors students who have earned a high grade point average
• The Undergraduate Showcase features undergraduate research presentations, arts, readings, and performances
• The College of Engineering and Natural Sciences holds a yearly Undergraduate Research and Design Symposium
• The University Honors Program hosts the Honors Symposium each year, where students present research and creative work

Student accomplishments are also recognized through individual awards and honorary organizations. Student awards for academic achievement, leadership, and service are offered through the Blue Key, Gold Axe Award, and other programs. Academic honoraries recognize student academic excellence.

CELEBRATION OF UNDERGRADUATE RESEARCH AND DESIGN Highlights from 2006 include:

Chemistry student Haley Finlay-Jones and chemistry professor Jani Ingram presented the findings of their study of the metals present in tattoo inks. Since the FDA does not currently regulate tattoo inks, it is important to better understand their composition.

A team of engineering students—Mark Abrahams, Michael Brown and Noah Schmadel—along with civil and environmental engineering professor Paul Gremillion, demonstrated how they developed a portable, easy-to-use, self-contained water treatment unit that can provide enough power to produce a minimum of 100 gallons of water for 10 days.

Engineering students Heather Maldonado, Vinnie Pinedo, Luke Hornburg and David Thomson, along with Tom Uno of the Institute for Human Development, demonstrated the assistive electronic cart they designed for the disabled that will transport items from the trunk of a car to shelves and countertops inside a house.
Faculty and staff accomplishments are celebrated through individual awards and recognitions. The annual Faculty Awards Reception honors faculty promotions, teaching awardees, and university award recipients through the following:

- President’s Awards
- Teacher-Scholar Award
- Faculty-Advisor Award
- Regent’s Professors

Classified staff and service professionals are eligible for the President’s Achievement Award. This award recognizes employees whose performance exceeds expectations, who demonstrate loyalty to Northern Arizona University’s mission, values, and goals and who work with others to create community in the workplace. In addition to being recognized by the President, recipients receive a one-time cash award of $1,000.

Accomplishments of all members of the University community are regularly publicized through communication outlets such as InsideNAU, The Pine, numerous other publications, the University’s Web site, and other venues.

The University’s research funding and mission supports scholarship and the creation of knowledge. Northern Arizona University’s faculty and students produce scholarship and create knowledge through basic and applied research. The University’s faculty are teacher-scholars whose engagement in inquiry efforts contribute to the economic and social development of the region.

The ongoing different forms of scholarly work among faculty, research centers, and sponsored projects align with institutional mission to balance research, public service, and instruction. Many research and public service projects address regional environmental and social problems. Some projects are designed as partnerships with regional agencies and communities, while others lead to innovations that translate into economic development.

The University is classified under the new Carnegie Classification system as a comprehensive doctoral institution, with a high residential undergraduate and a research institution with high research activity. Externally funded research, instruction, and public service have grown to over $53 million. Research at Northern Arizona University is performed under the sponsorship of numerous federal, state, and private agencies and organizations, accounting for more than 80% of current sponsored projects.

One of Northern Arizona University’s strengths as identified by the Research and Graduate Education Task Force is that research is grounded in a regional context. Attention to important regional themes is further enriched by parallel
work conducted on a global level. Critical topics tend to be explored in an interdisciplinary manner so that specialized knowledge is incorporated for a broader understanding of issues and to help drive holistic solutions. Scholarship often takes a deliberately applied focus as noted in service to dispersed, rural communities as well as in expanding urban populations—both of which represent challenges in the “New American West.”

The Research and Graduate Education Task Force recommended that Northern Arizona University adopt the concept of “Integrated, Focused Scholarship and Graduate Education,” allowing us to identify our particular areas of strength and support these areas as we move forward with our research and graduate programs. The task force identified four interdisciplinary areas of strength that build upon the University’s location and historic mission, and also address areas of state, national and global need. Focus Areas:

• Biotechnology and Health — Arizona’s focus for near-term economic development with a biotechnology corridor from Flagstaff to Tucson.
• Environment and Sustainable Systems — one of four economic development priorities for Arizona.
• Learning and Teaching — meeting the needs of P-20 for Arizona and beyond.
• Human Connections and Diversity of the Human Experience—particularly focused on Native American issues.

As a University, we recommend that we focus investments on the above-listed areas of strength.

The University has developed necessary infrastructure to support faculty and student scholarship. (See also Criterion 1.) State investment in the University’s 17 research and public service centers and institutes exceeds $4 million. The University’s performing and studio arts facilities also provide support for the creative endeavors of faculty and students.

Northern Arizona University’s Cline Library supports the acquisition and discovery of knowledge for students, faculty, staff, and the public. The library leverages assets to create a flexible and mobile information environment to support learning and scholarship. Its extensive Web site and electronic services provide access to learners regardless of location and time. Services and holdings of the library support disciplinary and interdisciplinary inquiry. Library personnel customize resources and services to maximize support for study and scholarship.

Northern Arizona University and its units use scholarship and research to stimulate organizational and educational improvements. Scholarship informs the University and helps improve effectiveness of operations and educational programs.
In many cases, faculty and staff conduct research to assess effectiveness of programs or to promote development of innovations that strengthens outcomes. In these ways, the ongoing learning of faculty and staff lead to improvements in educational programs and other facets of university operations.

Northern Arizona University’s faculty are active scholars of teaching and learning. Teaching is informed and improved by the scholarship conducted locally and elsewhere, and evidenced publicly during the annual Assessment Fair. Faculty are encouraged to systematically investigate the effectiveness of instructional practices and to explore innovations to enhance learning. The scholarship of teaching and learning is highly valued by the University community and is materially supported through the Faculty Development Program, a new Academic Diversity and Equity Research program, the e-Learning Center, the Arizona Board of Regent’s Innovation Fund, and through external grants.

**HIGHLIGHTS OF TEACHING AND LEARNING SCHOLARSHIP**

**A Learning-Centered Spiral Knowledge Approach to Teaching Isotope Geology:** A learning-centered, spiral knowledge approach was implemented in a graduate level course in isotope geology in conjunction with the Tri-University Collaboration on Learning-Centered Practice. A number of cooperative learning activities developed specifically for the course enabled the professor to gain a better understanding of student learning. In their assessments of course activities, students ranked the in-class cooperative learning activities on-par with lectures and homework exercises in facilitating their learning, with individual students preferring in-class exercises over lectures. “Of the five groups of students I have taught in an Isotope Geology course, no group has performed as well on an isotope geology exam as students in this class.” —Mary R. Reid, Professor, Department of Geology

**Action Research, Student Learning, and Change—Reform in Undergraduate Teaching:** A pair of grants were obtained in order to offer science and mathematics faculty the opportunity to participate in departmental teams that used an action research model to hypothesize root causes of student achievement problems, select and implement course interventions, and collect data to assess intervention impacts. This study was conducted over the two years of the Faculty Improving Student Achievement Success (FISAS) project with follow-up data collected 18 months after project conclusion. Study results include faculty learning and course change, impacts on student learning, and institutional change. Overall, course interventions result in significant improvements in student learning and/or attitudes. The most important classroom interventions included finding mechanisms to increase student attendance and interaction with the content, and to implement early warning
and intervention strategies that can assist students in recognizing unproductive patterns of academic behavior. Sustained changes and improved student achievement were found in those departments with low faculty turnover.

—Julie Gess-Newsome, Director, Walkup Distinguished Professor, Center for Science, Teaching and Learning

—Carol A. Haden, Evaluation Coordinator, Center for Science, Teaching and Learning

**CORE COMPONENT 4B: Northern Arizona University demonstrates that acquisition of a breadth of knowledge and skills and the exercise of intellectual inquiry are integral to its educational programs.**

The value and practice of intellectual inquiry integral to all University programs and Northern Arizona University’s Liberal Studies Program is the foundation of undergraduate education. (See Criterion 3 for an extensive discussion of the Liberal Studies Program.) The program complements and articulates with specialized degree programs to ensure that all graduates are equipped for success and life-long learning. The learning goals of the University’s Liberal Studies Program are periodically reviewed by faculty to ensure alignment with university mission and student preparation for life and work in today’s global environment.

The **mission of the Liberal Studies Program is to prepare students to live responsible, productive, and creative lives as citizens of a dramatically changing world.** Northern Arizona University’s faculty evaluated the Liberal Studies Program in 2006. At that time, a set of principles was adopted that guide the elaboration of learning outcomes for the program:

- To understand natural processes and the fragility of the earth’s environment
- To understand the world’s peoples and their diversity
- To understand the traditions and legacies that have created the dynamics and tensions that shape the world
- To understand the potential for, and limitations of, technology to enhance human and other life
- To act upon the individual’s responsibilities and connections to local, national, and global communities and environments
- To practice the habits of an examined or self-reflective life and to facilitate ethical and responsible living

The learning goals for the program are achieved through foundation requirements, an optional first year seminar, and interdisciplinary distribution blocks that cultivate a breadth of knowledge and foster development of essential skills for intellectual inquiry. The distribution blocks encompass the full range of academic disciplines and are not tied to particular colleges, but rather reflect interdisciplinary
outcomes. Five essential skills for life-long learning and success are cultivated through the Liberal Studies Program and comprise a more manageable, reasonable list, pared down from the previous list of nine skills.

**INTERDISCIPLINARY DISTRIBUTION BLOCKS**
- Aesthetic and Humanistic Inquiry
- Cultural Understanding
- Science/Applied Science
- Social and Political Worlds

**ESSENTIAL SKILLS**
- Effective Writing
- Critical Thinking
- Effective Oral Communication
- Quantitative Reasoning
- Scientific Inquiry

Integration with the major fosters further development of essential skills and knowledge that contribute to achievement of program goals. The junior-level writing and capstone requirements for each degree program promote effective writing and intellectual inquiry. Junior-level writing courses involve students in study of their discipline or profession through writing. Students produce at least 20 pages of prose that are revised at least once in response to feedback. In this way, students are introduced to effective writing practice. The capstone course in each major builds on general and specialized learning by engaging students in synthesis, application, and/or inquiry.

**DIVERSITY REQUIREMENT**

**Global Awareness:** Students will acquire an understanding of the perspectives (e.g. theoretical; historical; social; political; economic; cultural; religious; geographic or sense of place; environmental; or intellectual traditions and/or ways of knowing) of non-Western peoples.

**U.S. Ethnic Diversity:** Students will acquire an understanding of the perspectives (e.g. theoretical; historical; social; political; economic; cultural; religious; geographic or sense of place; environmental; or intellectual traditions and/or ways of knowing) of U.S. ethnic minorities.

The University Diversity Requirement ensures students are exposed to U.S. ethnic and global diversity. The requirement entails two courses that may be embedded within liberal studies or the major, one in each of two categories.
The primary learning goals for the diversity requirement are that students acquire an understanding of the following perspectives of both non-Western and U.S. ethnic minorities:

- Theoretical
- Historical
- Social
- Political
- Economic
- Cultural
- Religious
- Geographic or sense of place
- Environmental
- Intellectual traditions and/or ways of knowing

Northern Arizona University's faculty provide ongoing oversight for the Liberal Studies Program, regularly review the program's alignment with mission, and assess its effectiveness. The Liberal Studies Committee, comprised of faculty from all of the colleges, provides direction for the development and assessment of the Liberal Studies Program. In the years since the new program was implemented in 1999, this group has faced a number of challenging issues. The original freshman seminar (University Colloquium) did not enjoy the breadth of support necessary for its success. The plan for electronic student portfolios also faltered in the face of information technology constraints. The Liberal Studies Committee found it difficult to keep up with the pace of new course review and at the same time ensure continued alignment of courses within the program. Faculty and students also expressed concern about the complexity of the program.

To address these difficulties, in spring 2002, the Liberal Studies Committee solicited broad-based faculty and student input about the program. Much of the feedback centered on the freshman seminar. Based on the guidance derived from this review, the committee designed and launched a pilot for a newly structured freshman seminar. Unfortunately, budget reductions in 2003 limited further efforts and in early 2004, the Liberal Studies Committee delivered a recommendation to the Faculty Senate that it discontinue the freshman seminar and charge an ad-hoc committee with comprehensive review of the Liberal Studies Program.

The Senate Liberal Studies Review Committee was formed in fall 2004 and began work in earnest in January 2005. The Committee studied the program and its performance, literature on general education, contextual and strategic issues for the University related to undergraduate education and student success, and solicited feedback from faculty and students. A team comprised of members of this committee and the Vice Provost for Undergraduate Studies attended an Association of American Colleges and Universities General Education Institute.
in May 2005. The following March, the committee issued its final report to the senate. The recommendations addressed a range of issues related to the performance and sustainability of the program including:

- Adopting a clearer statement of the program mission and learning goals
- Reducing the number of essential skills from nine to four
- Embedding the thematic foci and other themes in the overall program learning goals
- Combining two of the distribution blocks into one: Laboratory Science and Applied Science
- Adopting an optional (vs. required) first-year seminar with a strong infrastructure
- Strengthening program governance by empowering the Liberal Studies Committee to engage in ongoing review and evaluation of the program and courses
- Furthering study and consider the relationship between the Liberal Studies Program and the University Diversity Requirement

In May 2006, the Faculty Senate adopted the committee’s report and recommendations, with one minor revision. In 2006-2007, the Liberal Studies Committee began implementation of the recommendations. Perhaps the most important change in the program is the institution of regular, systematic review of course alignment to ensure coherence of the program. The first-year seminar program will be launched in fall 2007.

The Liberal Studies Committee continues its efforts to assess student learning in general education. (See Criterion 3.) With the changes made to the program, some adjustments of assessment plans have been made. As described in the previous chapter, the committee has embraced a multi-pronged strategy for assessment of the program: use of the Collegiate Learning Assessment to measure key skills and capacities, collection of direct, indirect and process measures from ongoing institutional research and degree program assessment, and regular sampling of course embedded artifacts evaluated with rubrics for essential skills and other learning outcomes.

The University is especially active with the Association of American Colleges and Universities (AAC&U). Northern Arizona University is a participant in two of AAC&U’s ongoing initiatives to strengthen general education including the Greater Expectations and Liberal Education and America’s Promise initiatives. Two teams of faculty and academic leaders participated in AAC&U general education institutes, one in 1998 and another in 2005. Another team participated in the Greater Expectations Institute. Each year, the University sends faculty to AAC&U annual and/or regional network meetings. The involvement of faculty with this organization enriches campus dialogues about general education.
Northern Arizona University assesses how effectively its graduate programs establish a knowledge base on which students develop depth of expertise. Northern Arizona University’s graduate programs are designed to ensure depth of knowledge and advanced capacities for intellectual inquiry. Programs at the master’s and doctoral levels are structured around common core requirements that establish a foundation of disciplinary/professional knowledge and skills.

All graduate programs culminate with a capstone experience aligned with learning goals and career paths:

- Research based thesis/dissertation
- Professional paper
- Applied research
- Reflective analysis of internship/professional experience

The University Graduate Committee (UGC) is charged by the Faculty Senate to establish objectives, standards, and policies for graduate programs at Northern Arizona University, as follows:

- Articulates objectives for graduate study and establishes and maintains proper graduate standards and policies for graduate programs and graduate assistants
- Coordinates all graduate programs and curricula to prevent undue course proliferation
- Studies and recommends means for improving graduate programs, and considers new and revised graduate programs
- Establishes and maintains standards and policies in such matters as admission to graduate study, admission to candidacy, examination requirements, transfer credits, and approval of graduate courses programs and degrees
- Serves as the graduate curriculum committee for new courses, course changes and deletions, new programs and program revisions
- Represents the graduate dean at dissertation defenses

Curricular revision proposals must include a list of learning outcomes as well as documentation of how assessments of student learning prompted the proposed changes. Academic units are responsible for assessment of student learning in graduate programs. Graduate program assessment plans and reports are governed by the same policies and procedures as that for all degree programs. Assessment of graduate programs is supported by the University Assessment Committee and the Office of Academic Assessment. (See Criterion 3.) The Research and Graduate Education Task Force Report also recommended that the University assess its current graduate programs for academic rigor, quality, and relevance to the University’s stated priorities and research and themes/strengths as identified by the task force.

In addition to Northern Arizona University’s eight doctoral degree programs, one professional degree program, and 47 master’s degree programs, 18 graduate certificate programs offer opportunities for graduate students and community members to broaden learning and develop new or specialized skills.
Northern Arizona University’s co-curricular and extracurricular programs enhance breadth of knowledge, provide opportunities for intellectual inquiry, and promote student development. Northern Arizona University offers a rich array of co-curricular and extracurricular programs to enhance student learning and development. Co-curricular and extracurricular activities are orchestrated by Student Life, Residence Life, and Academic Affairs. Increasing collaboration between academic units and student affairs has strengthened the freshman year experience and other programs.

**SCHOOL OF COMMUNICATION 2007 FORENSICS TEAM**
- In 2006–2007 two competitive debate teams were invited to the national parliamentary tournament of excellence (NPTE) with first round bids, honoring them among the top 16 teams in the nation.
- A Northern Arizona University student was chosen as one of three to represent the United States in a public showcase debate against the top three debaters from Ireland. These students were chosen based on their skills as top forensic competitors through their debate record, academic success, community service, and the overall success of their school program.

- The team is being honored through invitation to both the National Parliamentary Tournament of Excellence and the Irish Debates, which occur during the opening ceremonies of the National Parliamentary Debate Association National (NPDA) Tournament.

Northern Arizona University students are more likely than students at other National Survey of Student Engagement institutions to participate in a learning community or some other formal program where groups of students take two or more classes together, and/or work with other students on projects during class.

The University’s co-curricular activities provide a wide range of opportunities for students to engage in inquiry, practice, and creative activities that extend curricular and classroom learning. Internship, practicum, and research/creative activities complement classroom learning. All of the University’s co-curricular programming involves students in experiential learning that builds on the formal curriculum. Themes of social responsibility and ethics are cultivated and reinforced through classroom and out-of-classroom experiences.
Assessment findings demonstrate that graduates have achieved a breadth of knowledge and skills and the capacity for intellectual inquiry and life-long learning. As detailed in the previous section (Criterion 3), degree program assessment, liberal studies assessment, and other tools such as the Collegiate Learning Assessment provide evidence of the breadth of knowledge, skills, and capacities for inquiry and life-long learning. A variety of survey instruments, including sophomore, graduating senior, the National Survey of Student Engagement, graduate, and alumni, are regularly used to assess student engagement and skill acquisition.

Undergraduate student self-assessments of learning indicate that Northern Arizona University students have opportunities to develop skills and, over the course of their studies, achieve a level of proficiency required for success in work and life-long learning.

Annual surveys of Northern Arizona University undergraduate alumni, provide indirect measures of student skill development, knowledge acquisition, and capacities for life-long learning. Undergraduate and graduate alumni assess their acquisition of knowledge, preparation for their chosen career, faculty, and the quality of instruction very high.

**CORE COMPONENT 4C: Northern Arizona University assesses the usefulness of its curricula to students who live and work in a global, diverse, and technological society.**

Degree program assessment and academic program review are the primary formal mechanisms through which the University’s faculty and leaders assess curricula on an on-going basis. Program reviews and specialized accreditation evaluations engage expert consultants in evaluation of curricula. External stakeholders who serve on college or program advisory boards or who supervise Northern Arizona University students in internship or professional practicum also contribute to assessment of programs.
Assessment is an important part of Northern Arizona University’s co curricular programs and guides planning for further development and improvement. Expansion of successful living and learning communities through collaboration between residence life and academic units to strengthen the freshman year experience is a top priority.

Students learn more when they are intensely involved in their education and asked to think about what they are learning in different settings. Collaborating with others in solving problems or mastering difficult material prepares students for the unscripted daily problems they will encounter during and after college.

Compared to other doctoral intensive universities, the group of selected “peer” institutions, and all participating NSSE institutions, the University’s first-year and senior students scored well on the Active and Collaborative Learning benchmark.

Diversity experiences teach students valuable things about themselves and others. Technology facilitates collaboration between peers and instructors. Internships, community service, and senior capstone courses provide opportunities to integrate and apply knowledge. The University community takes advantage of its location by being involved in the local community through internship and volunteer opportunities and extensive research projects with the Colorado Plateau. Northern Arizona University is also committed to providing access to a quality education to all qualified students in the state of Arizona and is currently involved in various initiatives to diversify the campus community. All seniors have a culminating capstone experience. These efforts are reflected in benchmark scores for Enriching Educational Experiences. First-year and senior students scored significantly higher on this benchmark than other doctoral intensive institutions and group of selected peers.

Asterisks denote one of three significance levels between NAU’s benchmark score and comparisons (*=0.05, **=0.01, and ***=0.001)
Regular academic program reviews include attention to currency and relevance of courses and programs. Arizona Board of Regents’ policy mandates regular academic program reviews, which take place at least every seven years. Program reviews focus on advancing quality of programs through regular review of curricula and assessment of student learning (Appendix 12). Academic program reviews involve an in-depth self-study by the faculty and a consultative review by external expert consultants. The Office of Planning and Institutional Research (PAIR) produces a standard data report documenting program resources, enrollments, degrees granted, and sponsored research activity for each program. Plans and reports of assessment of student learning and any locally conducted surveys or exit interviews are incorporated into the program’s self-study document.

At least two expert consultants and an internal faculty consultant conduct a site visit of the program that includes interviews with students, faculty, academic leaders, and advisory boards or community stakeholders where appropriate. The outcome of a program review is an action plan in which the provost, dean and unit leaders identify key actions and commitments for advancement of the unit’s programs. Program and specialized accreditation reviews shape strategic planning and resource allocation at the institutional, college, and departmental levels.

In a recent review of the Department of Construction Management, for example, the American Council for Construction Education noted that the B.S. in Construction Management curriculum did not have sufficient emphasis on project management. In response, the department adjusted the syllabi for courses to eliminate redundancies and expand the scope of student learning outcomes related to project management. A review of the B.S. in Arts Management identified numerous weaknesses that undermined the preparation of students for professional employment. The external consultants recommended that the University either invest substantially in the program by adding several faculty lines or discontinue it. The college dean and provost determined that the best course of action, in light of strategic priorities and resources, was to phase out the program. Provision was made for students enrolled in the program to complete their course of study with programmatic enhancements suggested by expert consultants.

Eighteen of Northern Arizona University’s degree programs or units hold specialized accreditation. Programs with specialized accreditation are regularly reviewed by accreditation bodies, per their requirements and time line. As in the case of internally directed program reviews, accreditation reviews result in plans for program enhancement. Plans and commitments for future actions are documented in the reports and correspondence submitted by the University to the accrediting organization.
### Alumni Ratings 1999 – 2006

<table>
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<th>Question</th>
<th>1999 n=402</th>
<th>2000 n=403</th>
<th>2001 n=446</th>
<th>2002 n=415</th>
<th>2003 n=400</th>
<th>2004 n=404</th>
<th>2005 n=403</th>
<th>2006 n=403</th>
</tr>
</thead>
<tbody>
<tr>
<td>How would you evaluate your overall satisfaction with your experience at NAU? (% responding “satisfied” or “very satisfied”)</td>
<td>97%</td>
<td>95%</td>
<td>97%</td>
<td>99%</td>
<td>99%</td>
<td>98%</td>
<td>99%</td>
<td></td>
</tr>
<tr>
<td>Do you believe that the value of your education at NAU was worth the cost in the long run? (% responding “Yes”)</td>
<td>93%</td>
<td>93%</td>
<td>92%</td>
<td>92%</td>
<td>–</td>
<td>–</td>
<td>–</td>
<td>95%</td>
</tr>
<tr>
<td>If starting over, would you still choose to attend NAU? (% responding “definitely yes” or “probably yes”)</td>
<td>–</td>
<td>–</td>
<td>–</td>
<td>–</td>
<td>95%</td>
<td>96%</td>
<td>94%</td>
<td>93%</td>
</tr>
<tr>
<td>How would you evaluate the quality of faculty instruction / overall satisfaction with the faculty at NAU (% “responding good” or “excellent”)</td>
<td>93%</td>
<td>92%</td>
<td>92%</td>
<td>98%</td>
<td>98%</td>
<td>96%</td>
<td>97%</td>
<td>97%</td>
</tr>
<tr>
<td>How satisfied have you been with the preparation you received in your major for your chosen career? (% respondent “satisfied” or “very satisfied”)</td>
<td>76%</td>
<td>76%</td>
<td>77%</td>
<td>80%</td>
<td>88%</td>
<td>85%</td>
<td>84%</td>
<td>89%</td>
</tr>
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</table>

### Specialized Program Accreditation

**College of Arts and Letters**

- Music - NASM

**The W.A. Franke College of Business**

- All - AACSB

**College of Education**

- Educational Psychology - CACREP
- Educational Psychology - MA & PhD - NASP

**College of Engineering & Natural Sciences**

- Construction Management - ACCE
- Engineering (Undergraduate) - ABET

**School of Forestry (Undergraduate) - SAF**

**College of Health and Human Services**

- Athletic Training Education - JRC-AT - CAAHEP
- Communication Science & Disorders - CAA
- Dental Hygiene - ADA
- Hotel and Restaurant Management - ACPHA
- Nursing (Undergraduate) - CCNE
- Nursing (Graduate) - CCNE
- Physical Therapy - CAPTE
Faculty governance of Liberal Studies and specialized degree programs promotes regular review, assessment, and improvement of the University’s curricula. Multi-layered faculty curriculum oversight encourages review at multiple levels by faculty from within and without programs. As described in a previous section of this chapter, the Liberal Studies Committee provides leadership and oversight for the University’s general education program.

Faculty governance of degree programs originates with the academic unit, where standing curriculum committees review and propose improvements to curricula. College and University curriculum committees provide for peer review of programs and courses. All undergraduate curricula are reviewed and subject to the approval of the University Curriculum Committee, which is comprised of faculty from all the University’s colleges. The University Graduate Committee functions similarly for graduate curricula. Curricular proposals must also be endorsed by the unit leader, college dean, and provost.

Curricular evaluations involve alumni, employers, community partners, professional organizations, and other external constituents who understand relationships among the course of study, currency of the curriculum, and the utility of the knowledge and skills gained. Northern Arizona University colleges, schools and departments sustain program advisory boards that involve alumni, employers, community partners, and professional organizations in the development and improvement of curricula. Academic program reviews and specialized program accreditation reviews engage appropriate external stakeholders in evaluation of academic programs and the utility of knowledge and skills demonstrated by graduates. Internships and other supervised professional placements also provide opportunities for external constituents to assess student capacities in professional and community settings.

**GREATER EXPECTATIONS CAMPUS COMMUNITY DIALOGUE**

The University involves community, government, and business leaders in shaping learning goals for undergraduate education. In 2003, the University hosted a general education forum under the auspices of the AAC&U Greater Expectations Initiative and support of the Arizona Board of Regents. The forum, Greater Expectations: A Campus-Community Dialogue, convened over 130 people from throughout Arizona for focused dialogue about what students should learn. The forum, which involved participants in roundtable discussions...
about the most important outcomes of a college education in the 21st century, resulted in a report that highlighted what participants considered the most salient characteristics of a college graduate, including the following:

- Strong capacities for critical thinking, multiple forms of inquiry, communication and life-long learning
- A breadth of knowledge, an ability to work with in a multicultural community and global economy
- Values that promote civility, responsibility, and ethical behavior

The Greater Expectations dialogue informed subsequent reviews and modifications to Northern Arizona University's Liberal Studies Program. The dialogue has also guided development of many specialized degree programs. Ongoing engagement of faculty in their professions, disciplines, and the community ensure that the University’s curricula are current and that students are well-prepared to pursue their goals following graduation.

Learning goals and outcomes for educational programs include knowledge, skills, and capacities essential for a diverse, global, and dynamic world. The learning goals for the Liberal Studies Program encompass knowledge, skills, and capacities for citizenship in the world of the present and future.

The Liberal Studies Program is complemented by the University Diversity Requirement and institutional support for technological literacy. The Diversity Requirement increases student understanding of the world, its diversity, and the histories of ethnic and racial groups. Northern Arizona University’s commitment to cultivating student technological skills was strengthened and focused with the Technology and Research Initiative Fund (TRIF)’s e-Learning Initiative. The e-Learning Initiative set out goals for increasing technology skills of Northern Arizona University graduates. Technology skills have been integrated into the first year composition course required for all undergraduates. And, a number of the University’s degree programs include specialized technological learning outcomes.

Undergraduate and graduate students also have many opportunities to enrich their preparation for living and working in a diverse, global, and dynamic world by participating in interdisciplinary programs that offer elective courses, minor concentrations, or certificates that expand student learning. The Center for International Education promotes internationalization of the University and its curricula. It offers international study programs to students and recruits international students to the Flagstaff campus. Visibility and growth of international programs at Northern Arizona University have been enhanced by the newly created position of Vice Provost for International Initiatives. Finally, numerous groups and departments sponsor lectures, films, workshops, and other events that promote deeper understanding of diversity and the world.
Learning outcomes document that graduates have gained the skills and knowledge they need to function in diverse local, national, and global societies. Assessment of graduates of the University’s undergraduate and graduate degree programs document that students have gained knowledge and skills they need to engage effectively in diverse local, national, and global societies.

**STUDENT PREPARATION FOR LIVING AND WORKING IN A DIVERSE, GLOBAL WORLD**

In an earlier section of this chapter, results of graduating senior and alumni surveys were summarized. Surveys of students at the time of graduation and later indicate that they consider themselves well-prepared for work and life. Institutional surveys also document that students have experiences with diversity during the course of their education. Over 60% of first year students and seniors report having had serious conversations with students of a different race or ethnicity than their own. Similar percentages of students report having serious conversations with others who have different religious beliefs or political views. About half of the University’s freshmen and seniors either have, or plan to pursue foreign language study. Half of freshmen and seniors indicate that the University did “quite a bit or very much” to encourage contact with students from different economic, social, racial, or ethnic backgrounds. Finally, the vast majority of freshmen and seniors (85% and 83% respectively) indicate that their education at Northern Arizona University contributed to their understanding of people of other racial and ethnic backgrounds.

Assessment of student achievement on specified outcomes for the global and U.S. ethnic diversity courses will enhance the University’s capacity to measure the extent to which students have gained skills and knowledge for success in a diverse, multi-cultural world.

**CORE COMPONENT 4D: Northern Arizona University provides support to ensure that faculty, students, and staff acquire, discover, and apply knowledge responsibly.**

Northern Arizona University has policies, practices, educational programs and other supports in place to ensure that its faculty, staff, and students conduct inquiry and apply knowledge with integrity and responsibility. (See Criterion 1.) The University complies with all relevant federal regulations pertaining to the conduct of research with human subjects and animals. Formal expectations of faculty, staff, and students include provisions for
All academic, co-curricular, and employee development programs promote responsible and ethical use of knowledge and technology. Likewise, undergraduate and graduate academic programs promote research integrity, ethics, and responsible use of knowledge.

ethical and responsible practices in research and service activities. Faculty, staff, and students are guided by what they learn through focused training or academic courses and programs. Assurance of responsible discovery and application of knowledge is reinforced through oversight from multiple units, committees, and leaders, including Student Life, the Institutional Review Board, the Vice President for Research, the Graduate College, the Office of Grant and Contract Services, and the Office of Regulatory Compliance.

Northern Arizona University’s academic and student support programs contribute to the development of student skills and attitudes fundamental to responsible inquiry and use of knowledge. Arizona Board of Regents and Northern Arizona University policies establish a framework for student development of skills, attitudes, and values that promote responsible inquiry and use of knowledge. Framed by the ABOR Student Code of Conduct, the University’s Student Handbook specifies that students are obliged to comply with all university regulations related to the conduct of research, intellectual property, privacy, and conduct in the community. Academic dishonesty and fraud are prohibited.

Degree programs seek to provide methodological training and promote student understanding of the responsibilities and ethical issues associated with inquiry and application of knowledge in a discipline or profession. Co-curricular programs and student organizations reinforce learning of ethical and responsible conduct in research and practice, as do formal programs promoting undergraduate research.

The Graduate College ensures that doctoral dissertations are of appropriate quality and follow standards and procedures for ethical and responsible scholarly conduct. Graduate College policy requires that dissertation committees involve a minimum of four faculty members, all of whom have some expertise in the content area, subject to approval of the graduate college. A two-thirds majority vote of the committee is required for a student to pass the final oral defense. The Graduate College also appoints a faculty member from the University Graduate Committee to attend the final defense to ensure that proper procedures are followed and to ensure overall quality of the dissertation. This individual is asked to rate the overall quality of the dissertation and the oral defense and provide that feedback to the graduate dean, the chair of the committee, and the department chair. Some departments also utilize external reviewers to evaluate quality of the dissertations in relation to disciplinary standards.

Northern Arizona University’s faculty, staff, and students are clearly guided by policies and supported in the ethical and responsible conduct of research and application of knowledge. The Arizona Board of Regents’ policies inform the University’s Faculty Handbook and the Conditions of Faculty Service which guide faculty in their scholarly and public service endeavors. Faculty, staff, and students
are subject to University policies related to research with human subjects, research with and care of animals, intellectual property, and environment and safety.

With leadership from the Vice President for Research, two institutional committees guide policy development and provide oversight for the conduct of research by faculty, staff, and students. Northern Arizona University’s Institutional Review Board for the Protection of Human Subjects formulates policy for, and guides practices related to, human participants in research. The Institutional Animal Care and Use Committee ensures that all members of the University community comply with federal regulations affecting the use of animals in education and research.

Faculty and staff are also provided with opportunities for learning related to the conduct of research. The Office of Grant and Contract Services and the Institutional Review Board provide information, training, and consultation for development of plans for research and public service projects. The Faculty Development Program also provides for mentoring and focused training related to the design, conduct, and application of knowledge discovered through research.

The University has in place effective mechanisms to support integrity of research practices and ensure that research is carried out responsibly and follows federal and state guidelines. The Vice President for Research provides leadership and oversight for offices, committees, and other units that ensure integrity of research practices and compliance with federal and state regulations. (See Criterion 2.) The Office of Office of Grants and Contract Services, Institutional Review Board, Institutional Animal Care and Use Committee, and Office of Regulatory Compliance are all involved in the development of policies, procedures and practices that ensure integrity and compliance with regulations. The Vice President for Research Web site features a regulatory compliance section with links to specific policies, guidelines, and key contacts for researchers. Support for research involving human subjects was strengthened with the addition of a dedicated IRB administrator in 2006. In the same year, a bio-safety officer was also put into place.

The Office of Grant and Contract Services is responsible for assuring compliance with research polices and regulations for projects seeking external funding. The office also monitors compliance with university, grant, and contract requirements for administration and fiscal management. Enforcement of policies and federal or state regulations relevant to the conduct of research and safety is buttressed by Human Resources policies and the Conditions of Faculty Service. Faculty and staff are subject to sanctions for research misconduct.

Northern Arizona University creates, disseminates, and enforces clear policies or practices involving intellectual property rights. The Arizona Board of Regents’ Intellectual Property Policy is intended to encourage faculty, staff, and
students to create intellectual property. The policy specifies the property rights of inventors, the University, board, and private partners to develop various forms of intellectual property. The Vice President for Research serves as the intellectual property official of the University and leads efforts to elaborate local policies. Northern Arizona University has recently reconstituted its Intellectual Property Committee, which is now working on development of a local policy implementing ABOR policy. The committee also ensures that faculty, staff, and students are aware of the policy and its parameters.

Northern Arizona University provides information and guidance to faculty about copyright and fair-use-laws pertinent to teaching and development of Web courses. The e-Learning Center maintains a Web site—TEACH Act and Use of Copyrighted Works in Distance Education—that presents detailed information and guidelines for practices compliant with the TEACH Act. All Web courses developed with University support are subject to a quality review that includes assurance of copyright compliance.

Support for technology transfer at Northern Arizona University is provided through an agreement with Arizona State University’s technology transfer unit, Arizona Technology Enterprises (AzTE). AzTE provides a full range of technology transfer services to Northern Arizona University faculty and students on a cost reimbursement basis. This arrangement affords faculty and students expertise, experience, and depth of resources not otherwise available.

### Technology Transfer Statistics at Northern Arizona University

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Source: Vice Provost FY06 Annual Report, p. 19.

### SUMMARY

Evidence shows that Northern Arizona University promotes an environment of life-long learning for its faculty, staff, and students by fostering and supporting inquiry, creativity, practice, and social responsibility in ways consistent with its mission.

Learning and discovery are at the heart of Northern Arizona University’s mission and are the most salient commitments of its faculty and staff. The University, with the strong support of the Arizona Board of Regents, promotes free, responsible
inquiry and a life of learning for all members of the University community. Substantial investments in facilities, programs, and other resources that promote discovery enable faculty, staff, and students to pursue learning and be productive contributors of knowledge to academic disciplines, professions, and the community.

The University’s faculty ensure, through regular review, assessment, and engagement with external stakeholders that curricula are aligned with current academic and professional developments and the changing nature of the world. Northern Arizona University’s general education program ensures that all undergraduates benefit from a breadth of learning that will enable them to be successful and contributing citizens of an increasingly dynamic, diverse, and global world. Graduate programs provide a foundation of knowledge and skills to support specialized, in-depth study and inquiry.

Northern Arizona University recognizes the need to continue efforts to enhance educational programs and support for inquiry. Progress has been made in key areas, and priorities for improvement have also been identified.

1. Ensure that Northern Arizona University continues to increase utilization of assessment results for continuous improvement of curricula and student learning outcomes. Implementation of the revised Liberal Studies Program (including a new first year seminar program) as well as the University Diversity Requirement are excellent opportunities for the integration of assessment of outcomes and curricular revision. A strong focus on increasing skills development and active student engagement in the first year is moving forward.

PROGRESS:

- The Faculty Senate Liberal Studies Review Committee issued a final report in March 2006, outlining ways to improve the performance and sustainability of the program.
- The Liberal Studies Review Committee has embraced a multi-pronged strategy for assessment of the program, including using the Collegiate Learning Assessment.
- The new first year seminar program will be launched in Fall 2007.
- Academic program reviews incorporate study of assessment plans and results.
- The Freshman Year Coordinating Council is planning a comprehensive assessment of the first year.

2. Ensure that Northern Arizona University continues enhancement of research and graduate education, as appropriate to the mission. The creation of a new senior position, Vice President for Research, will raise the profile of research endeavors, and will enable the graduate dean to focus on the Graduate College, rather than trying to manage both research and graduate studies
responsibilities. The Arizona Board of Regents has a published intellectual property policy; Northern Arizona University is moving forward to revitalize its intellectual property committee in order to fully implement policy to meet the specific needs of the University. The University will also move forward to implement the recommendations of the Research and Graduate Education Task Force, including focusing research in priority areas and conducting a review of graduate programs.

PROGRESS:
• The Research and Graduate Education Task Force conducted a study of research and graduate education at Northern Arizona University, and has recommended that the University focus research in four key areas in keeping with its mission, and that it continue to focus on master’s level programming with selected doctoral programs.
• The University has invested over $90 million in the research infrastructure over the last six years.
• The University garners more than $53 million annually in external funds to support research, instruction, and public service.
As called for by its mission, Northern Arizona University identifies its constituencies and serves them in ways both value.

Criterion Five: ENGAGEMENT AND SERVICE

Northern Arizona University’s mission has been shaped through a history reinforced by diverse constituency needs, location, and Arizona Board of Regents’ priorities. As noted in the mission, the University emphasizes “undergraduate residential education strengthened by research, graduate and professional programs, and sophisticated methods of distance learning.” Within this framework, the University’s principles of stewardship and engagement form the basis for a wide range of partnerships in social service and economic development that are both formal and informal. Over time, the futures of the University and the communities it serves have become increasingly intertwined.

As with any multi-faceted enterprise, the University serves many constituencies both internally and externally including alumni, students, parents, faculty, staff, community leaders, investors, legislators, taxpayers, and more. Similarly, the University engages in ongoing research both formally and informally to plan and execute strategies that bring shared value to these many constituencies. The result is engagement through broad and varied efforts that range from individual to collective; and include cross-campus units, institutes and centers, summer camp programs, community relations, student affairs units and through affiliated student groups, alumni and advancement efforts, arts, recreation, and athletics programming.

Throughout the Self-study process, numerous initiatives were identified that testify to the University’s commitment to engagement and dialogue. Many are described in other sections of this document as illustrations of the University’s dedication to fulfill its mission. Engagement, dialogue, and service activities are integral to the University’s overall mission and those efforts extend well beyond the information presented here.

The impact and influence of a university extends well beyond its educational offerings. While education is the main focus of any higher education institution, regional universities must serve as “Stewards of Place” in the life of the communities and regions they serve.
CORE COMPONENT 5A: Northern Arizona University learns from the constituencies it serves and analyzes its capacity to serve their needs and expectations.

Northern Arizona University engages its constituencies and conducts research and environmental scans to understand the needs of stakeholders and communities throughout the state. Analyses of capacity to serve identified needs are integrated into the University’s strategic planning and budgeting processes. This is most clearly evident in the evolution of distance learning, which is central to Northern Arizona University's mission.

Northern Arizona University’s commitments are shaped by its mission and its capacity to serve constituents. The University’s distinct mission provides the very foundation for engagement and service. The University is a community of intellectuals where learning and innovation are supported by collaborations that bring together people and practices to achieve successful results.

And while the University’s reach extends throughout the state and region, University representatives are cognizant of limited resources and the choices they must make to target their efforts. Thoughtful attention and inclusion in the strategic planning process ensures that actions align with mission in a manner that maximizes limited resources by focusing on specific needs and opportunities that address constituent needs and expectations.

Northern Arizona University’s Distance Learning programs offer strong examples of listening to, and learning from, the constituencies it serves. The hallmark of successful Distance Learning programming is in understanding community needs and interests and responding quickly with relevant solutions. To achieve this aim, the University has made use of focus groups, marketing surveys, and ongoing conversations with community college personnel and business leaders to determine areas of interest.

These efforts have resulted in a variety of solutions including 2+2 programs with specific community colleges, establishing programs in business administration in Pima and Maricopa counties, cohort-based teacher certification programs for students who already have a degree, a nursing program in partnership with Tucson Medical Center and the design of an online Master of Administration program, among others. In addition, the University has a standing offer to any community in Arizona wherein if a 25-student cohort for any program is identified, the University will offer the program in that community.

Northern Arizona University practices periodic environmental scanning to understand the changing needs of its constituencies and their communities. As described in the Arizona Board of Regents’ document, *A Redesigned Public University System*, the state of Arizona faces significant challenges with regard to
Decades of investment in the University's off-campus infrastructure have created increased access, outreach, and collaboration. Northern Arizona University has a public record of delivering access to high-quality higher education at a modest cost.
public education in the years ahead. As the country’s fastest growing state, and with an expected increase of 180,000 new university students entering the system in the next 15 years, great care and attention are given to periodic environmental scanning on a number of levels.

The Arizona Board of Regents conducts periodic environmental scans at the state and national level to ensure continued leadership by the state’s three universities. The University conducts numerous formal and informal studies to assure inclusion in planning and decision making. Administrators, faculty, staff, and students are involved with numerous constituencies that help provide early alerts to recognize changing needs. Environmental scanning, academic trend analysis, societal and economic demographic analysis, community needs assessments, and faculty, student, and alumni surveying are routine procedures used throughout the University. This information ensures that the University understands and effectively responds to the changing needs of the many constituencies and communities it serves.

Northern Arizona University demonstrates attention to the diversity of the constituencies it serves. The mission and strong commitment to diversity are integrated throughout the University. The University values and responds to diversity along many dimensions. In addition to ethnic diversity, the University is also sensitive to diversity in learning and life styles.

The success of these efforts with regard to ethnic diversity is shown in national rankings that include being fifth in the nation for graduating Native Americans with bachelor’s degrees and 7th in providing degrees in education to all minorities (Black Issues in Higher Education, June 2005). Less obvious, but no less crucial, are the variety of course delivery types (Web, television, face-to-face, and hybrid), class schedules, class locations (37 around the state), and programming (education, business, nursing, social work, etc.) provide students educational opportunities wherever they are and whenever they are needed the most—within the students’ own communities. Through constant attention to community needs and technological innovations, Northern Arizona University is poised to expand these opportunities on demand.

Northern Arizona University’s branch campus in Yuma, Arizona serves 628 students; 467 are female and over half (353) are Hispanic. Ranging in age from 21-59, many of these students illustrate a changing student profile and the reality of lifelong learning. Programs are area-specific, focusing on professional education and health care. With a new Associate Vice President and Campus Executive Officer in place, and a new federal designation as an Hispanic Serving Institution (HIS) the Yuma branch campus is well positioned to develop an interdisciplinary campus that serves students and the community through experiential learning, applied research, and economic develop to meet local needs. This campus is currently undertaking a
The Diversity Index (DI) represents the likelihood that two persons, chosen at random from the same area, belong to different race or ethnic groups. According to the U.S. Census Bureau the race categories are: White, Black, American Indian, Asian, Pacific Islander, Some Other Race and Two or More Races. Each of the race categories is further divided into ethnic groups: Hispanic and Non-Hispanic.
significant strategic planning effort, involving participants from the Flagstaff campus, the Yuma campus and, perhaps most importantly, the Yuma community. This 360 degree view of the Yuma branch campus and its constituency relationships will drive both programming and the character of the campus.

Another example of how the University recognizes diversity is illustrated by its conscious and longstanding service to Native American communities and students. The University provides programs and services to Native American communities to ensure access and affordability at the local level. The University maintains nine sites on Native American reservations throughout Arizona. It offers a unique nursing program specifically for students on the reservation in Ganado, Arizona. Collaborations between the home campus in Flagstaff and the many dedicated professionals in these communities ensure that programs are available that focus on distinct community needs. Northern Arizona University often provides the only means of access to higher education in these communities, and often complements access by providing classrooms, computer labs, student support services, and social and health care services.

**Northern Arizona University’s outreach programs respond to identified community needs through programs such as customized training, clinics, and distance learning offerings.** The University practices regional stewardship at the community level through numerous outreach initiatives. Some examples of these are:

- The W.A. Franke College of Business, through its self-sustaining, non-profit Center for Business Outreach (CBO), offers a number of non-credit training and education opportunities to citizens and businesses throughout the region. Consisting of the Arizona Rural Policy Institute, the Center for American Indian Economic Development, the Computer Training Center, Elderhostel and the Small Business Institute, its services include business skills training, computer skills training and facilities, strategic planning assistance, market research, and business plan and consulting services—for a wide array of business and training assistance to rural and small businesses.

- The Institute for Tribal Environmental Professionals uses locally developed expertise to provide national tribal outreach. To date, it has served more than 230 tribes (from Alaska to the East Coast), providing tribal governments with the expertise to set-up and maintain environmental and resource monitoring systems.

- The Institute for Human Development is an interdisciplinary unit designated as the Arizona University Center on Disabilities. The Institute is involved in some national projects, but the majority of its work directly serves the state of Arizona and specifically the needs of the Hopi, Navajo, and Southern Piute nations.
The University often provides Native communities with specialized clinics that include the Speech and Hearing Clinic, Health Psychology Clinic, the Dental Hygiene Clinic, and the Institute for Human Development Interdisciplinary Training Clinic. These clinics provide valuable outreach services to meet well-defined community needs.

Surrounded by numerous national parks and monuments, the University collaborates with representatives from these important constituencies to ensure the viability and long-term integrity of the nation’s regional parks and monuments in the southwest.

_In FY 2004, the Department of Geology and the Center for Environmental Sciences and Education served area parks and monuments by developing projects at:_

- Tuzigoot National Monument
- Petrified Forest National Park
- Grand Canyon National Park
- Glen Canyon National Recreational Area
- Grand Staircase-Escalante National Monument
- Flagstaff area national monuments
- Mesa Verde National Park
- Fossil Creek

The Colorado Plateau Ecosystem Studies Unit (CPCESU) provides an example of a partnership arrangement among seven federal agencies and 20 universities and non-governmental organizations, for which Northern Arizona University serves as the host. The mission of the Colorado Plateau Ecosystem Studies Unit concerns the management and stewardship of the Colorado Plateau’s natural, cultural, and social resources. It also provides opportunities for research, education, and technical assistance.

The Institute for Native Americans promotes the visibility and professionalism of academic and service-oriented programs related to Native American tribal cultures, issues, and future development. It serves as a catalyst and coordinating body for new initiatives related to Native American tribes. The Institute’s Advisory Council provides important outreach to Native communities and includes important Native American business and political leaders. Other agencies that serve Native American constituents include the Native American Student Services, Native Americans United, Native American Business Organization, and the Institute for Tribal and Environmental Professionals.

Throughout the University, academic units play important outreach and training functions, locally and statewide, to many underserved populations. Also, collaboration between academic units and Distance Learning ensure that programs are developed and delivered as needed across the state.
**CORE COMPONENT 5B:** Northern Arizona University has the capacity and commitment to engage with its identified constituencies and communities.

The commitment of the University’s leadership, faculty, staff, and students to communities throughout Arizona promotes engagement with multiple stakeholders. Community outreach, educational, and other programs provide infrastructure to promote engagement of the University with communities to produce benefits for both.

Northern Arizona University’s structures and processes enable effective connections with its communities. At a central level, the University is a partner in a number of Flagstaff and regional enterprises. Senior members of University administration regularly meet with “The Alliance”—a group consisting of the City, County, University, and Flagstaff School District that meets to discuss issues of mutual interest. Particularly important is senior administration membership on a number of economically-focused groups including the Greater Flagstaff Economic Council, the Flagstaff Forty leadership team and city-sponsored Business Technology Incubator.

One of the most concrete examples of engagement with identified constituencies and communities is the University’s partnership with the City of Flagstaff in building a hotel and conference center complex that will expand the desirability of Flagstaff as a conference location, bringing economic development to the area.

Northern Arizona University’s commitment to community engagement and dialogue is demonstrated by involvement in local boards, advisory councils, and by regular participation in community events. This includes involvement with the Phoenix Advisory Board, the Alumni Association, the Associated Students of Northern Arizona University, and the Foundation Board. In addition, the president and other executives make regular presentations to the Flagstaff City Council and to other local service organizations such as Rotary, Kiwanis, and more.

The University’s Community Relations Office conducts ongoing community outreach projects by hosting a regular community breakfast and other gatherings with local community leaders and alumni. This office also led the University’s United Way efforts in achieving its 2007 goal, and engages in numerous other outreach activities, such as the International Festival, the Flagstaff Festival of Science, the 4th of July parade, and similar events. The relations fostered by the Community Relations Office between the University and the community of Flagstaff continue to generate new events to sustain and increase the University’s community service.

Changes to University Advancement over the last few years have increased outreach efforts to a broad range of constituents. These include alumni and prospective students involved with partnerships among enrollment management staff, friends, and supporters of the University. The Vice President for Advancement strategically aligns advancement priorities with University priorities. Development directors within each college help align their fund-raising initiatives with advancement and University initiatives.
UNIVERSITY ADVANCEMENT

University Advancement has undergone tremendous change during the last few years. As previously noted, a Vice President for Advancement was hired in 2003. Since that time new emphasis has been placed on building and maintaining strong relationships with alumni, current and potential donors, and a wide range of other partners both individual and corporate to advance the University. These relationships not only provide financial benefit, but are true partnerships representing a long-term commitment to engagement and stewardship.

A few initiatives of note include:

• A partnership was formed with Arizona Power Service (APS) wherein APS pledged $1 million in funding toward the construction and furnishing of the new Applied Research and Development building.

• APS also pledged a $500,000, multi-year gift for programs, scholarships, and internships through the recently established APS Scholars, Leadership & Innovations Fund.

• Community programs like Think Again! were offered. The first was Earth, Wind, Fire & Turquoise - Human Culture in the Shadow of the Volcano. This 3-day educational experience was led by anthropology and geology faculty, and delved into the influence of environmental change on the ancestral Sinagua people.

• Creation of an engaging Discoveries program was held at the Scottsdale Museum of Contemporary Art in the spring 2004. The gathering entitled All You Need is Love—High Impact: the Power of Cultural Image Icons provided thought-provoking presentations and discussions on cultural imagery.

• The Office of Alumni Relations and the Alumni Board of Directors established a life-long learning committee and launched its first programs in 2004-2005.

• Numerous internal structures were improved for better communication and outreach to constituents including: a refined data base, increased issues of the Pine magazine to alumni, a redesigned Web site for greater efficiency, implementation of a Northern Arizona University Foundation Annual Report to Donors, and more.

In May 2007, the University received a $25 million gift from William Franke to the University’s College of Business. Mr. Franke believes in the power of an undergraduate education and made this investment to allow the University to engage in efforts to spur economic development and social change in Arizona.
The president’s message to the Arizona Board of Regents on June 23, 2006, reinforced the University’s ongoing commitment to community engagement. The presentation culminated in a white paper entitled, *Enterprise and Education: Pathways to Stewardship, Innovation, and Engagement*, that was distributed to all campus employees.

The University’s commitment to community extends well beyond the Flagstaff area. As noted, the Distance Learning infrastructure includes local facilities and staff in over 37 locations throughout Arizona. University faculty and staff at these community locations engage in ongoing collaboration with individuals, community groups, agencies, community colleges, public and private sector employers, and other local constituents. They are an integral part of the communities they serve and provide the University with valuable insights and solutions to address local community needs on a statewide level.

**The University’s co-curricular activities engage students, faculty, and staff with external communities.** The University supports many dynamic and collaborative efforts that connect faculty, staff, and students with external communities to foster expanded learning through community engagement. These activities form the foundation of service as shared leadership.

Organizations throughout northern Arizona annually request and depend on the volunteer services provided by University students and student organizations that include, but are not limited to, the Associated Students of Northern Arizona University (ASNAU), sororities, fraternities, Blue Key, Cardinal Key, Black Student Union, MECHA (*Movimiento Estudiantil Chicano de Aztlan*, the Chicano Student Movement of Aztlan), and student athletes.

**Recent examples of co-curricular activities engaging students, faculty, and staff with communities in northern Arizona include:**

- The American Cancer Society Relay for Life
- Toys for Tots
- United Blood Service & Red Cross Blood Drives
- Red Ribbon Week in Flagstaff Schools
- Flagstaff Festival of Science
- NAU-Flagstaff International Festival Week
- Big Brothers/Big Sisters Annual Bowl-A-Thon
- Climb to Conquer Cancer
- GEAR UP, NAU
- The Summer Reading Camp
- The Summer Music Camp
- STEP UP Engineering Camp
- Events at the Museum of Northern Arizona
- Flagstaff Symphony
- The Annual Arts & Crafts Fair to support United Way
The United Way annual campaign is the University’s largest community campaign and involves leadership and broad participation at all levels. University representatives serve as board directors, committee members, and donors resulting in approximately $80,000 in fundraising annually.

**Northern Arizona University's educational programs connect students with external communities.** The University is deeply embedded in and committed to the many communities it serves. Now, more than ever, universities must dedicate themselves to teaching and learning that allow for real-world experiences in preparation for real-world employment and service. At Northern Arizona University, this is achieved through collaborations with external business and service agencies to help meet specific workforce development needs in high-demand fields such as teaching, nursing, hotel and restaurant management, forestry, and more.

Curricular activities include numerous internship programs in individual academic units. In some cases, internships are required for degree programs, as in the case of the Bachelor of Social Work and Master of Arts in Applied Anthropology. In other degree programs, internships are an optional part of the program. In addition, many classes engage in service activities as part of class work. For example, classes in the School of Communication routinely take on non-profit clients to design Web sites and to develop public relations campaigns. Recent examples include Retired Senior Volunteer Programs and Victim/Witness Services for Coconino County. Other examples include internships with W.L. Gore & Associates, the Flagstaff Medical Center, Coca-Cola, and numerous businesses and government agencies throughout the state.

By offering programs in different communities, the University helps students maintain connections with those communities. For example, students in teacher-training programs are found in nearly 20 locations throughout the state, including several school counseling and community counseling programs. They complete student teaching and a variety of internship and practicum experiences, often in their home communities. Students who complete these programs often remain in their communities and become a valuable part of the local professional workforce. Two other similar programs include nursing programs in Tucson and on the reservation. Both provide an on-site bachelor’s degree in nursing that provides students with classroom experiences, a field-work practicum, and actual hospital experience—all enabling students to integrate their educational experience with their lives in their home communities.

**Northern Arizona University’s resources, physical, financial, and human, support effective programs of engagement and service.** As previously noted, long-term investments in a robust physical and technical infrastructure allow for accessibility in remote areas throughout the state. Although infrastructure is an irreplaceable necessity, the University also recognizes that it merely provides the

While many of these examples provide information about formal channels of involvement, continuous, ongoing efforts also take place on an informal level throughout the University. These volunteer efforts provide expertise and support to stimulate ideas and help meet the social and economic needs of a rapidly growing state.
means for learning. University faculty and staff provide the knowledge, service,

   and scholarship that form the basis for effective stewardship.

   The University invests in effective programs with both financial and human
capital resources. This is evident in relationships between the University and local
agencies to fund facilities and provide other resources needed to achieve educa-
tional results. A commitment to these efforts is determined through the strategic
planning process to ensure that resources are available, and to align projects with
the University’s mission, the state’s needs, and economic opportunity.

   For example, the University has invested in two buildings on the the
University’s Yuma and Arizona Western College campuses. One of these provides
joint space for Northern Arizona University and Arizona Western College faculty
and classes, thus facilitating the partnership between these institutions. The other
is a small research facility, which will provide the foundation of collaborative
applied research on issues of particular relevance to the Yuma community includ-
ing environment, water, and agriculture.

   Beyond “bricks and mortar” investments, the University invests in programs
that spur engagement and service. For example:

   • The Arizona K-12 Center, a center for research and service in education as
     it affects the K-12 community

   • Institute for Human Development (IHD)

   • The Rural Policy Institute, by the U.S. Department of Commerce’s
     Economic Development Agency, the University, the City of Flagstaff and
     Coconino County, to address long-term policy issues of particular concern
     to rural areas: water, the environment, and economic development

   • The AmeriCorps programs, part of the Institute for Future Workforce
     Development, provide facilities, administrative support, and infrastructure
     for education
CORE COMPONENT 5C: Northern Arizona University demonstrates its responsiveness to those constituencies that depend on it for service.

Collaborations with organizations, educational institutions, municipalities and community leaders enable the University to deploy its capacities to respond effectively to needs of its constituencies. Northern Arizona University has been able to expand its reach through strategic partnerships and other efforts that combine University resources with capacities of other organizations and in communities.

Collaborative ventures exist with other higher learning organizations and education sectors (e.g., K-12 partnerships, articulation arrangements, 2+2 programs). The University has a long tradition of partnering with other higher learning organizations. Relationships with local agencies and community colleges offer students increased access to educational opportunities in their home community. The Arizona Board of Regents Redesign recently reaffirmed this commitment by mandating that the University continue to expand statewide services and partnerships to help meet the demands of a rapidly growing population and to foster educational opportunities where needed.

The University currently maintains 2+2 relationships with numerous statewide partners and community college agencies. These relationships allow the University to maximize resources, while also allowing expertise and talent to be shared across traditional boundaries. On-site classrooms, labs, and services that include advising form the basis for a comprehensive learning experience devoted to personalized attention. In this way, the University helps meet the needs of both traditional and non-traditional students in a cost-effective, learning-centered manner.

Examples of academic program articulations with specific community colleges include the B.S. in Hotel and Restaurant Management with Pima and Scottsdale Community Colleges, the rural health initiative RN to B.S. Nursing program articulation with several rural community colleges, the Early Childhood Education program in Casa Grande, and the B.S. Nursing partnership with Diné College on the Navajo Nation.

As part of an agreement with Arizona Western College, students can participate in a dual enrollment program that helps facilitate the seamless transition from the community college to the University. A similar program is now in place with Yavapai College.

The University also participates in the Western Undergraduate Exchange (WUE) program that allows new students from 14 western states to enroll in one of the University’s 53 WUE-designated majors.
GOOD NEIGHBOR POLICY

The Good Neighbor Policy is an Arizona Board of Regents approved amendment that allows non-Arizona residents living in Nevada, Utah, California, or New Mexico (within 75 miles of the Arizona boarder), to pay resident tuition for up to six units. Eligible students will only be charged 1.5 times the resident rate. Beginning in fall 2004, the Arizona Board of Regents approved a special three-year program for students living in California’s Imperial, Riverside, and San Bernardino counties who live within 75 miles of the Arizona/California border. These students can take a full academic load (more than six credit hours) during the fall and spring terms at the University’s Yuma branch campus at in-state tuition rates.

Northern Arizona University’s transfer policies and practices create an environment supportive of the mobility of learners. Today’s students are increasingly mobile and need solutions that offer educational opportunities in a variety of ways. Consequently, the University maintains statewide program articulation and transfer policies to allow students the ability to transfer into the University from any Arizona community college.

As a national model, the Arizona Transfer Articulation Support System and the University’s Academic Information Office Web sites provide valuable information and links to information for transfer students, advisors, faculty members, and Articulation Task Force members. This structure ensures that students have resources to facilitate mobility and provide comprehensive higher education options that meet diverse needs. In addition, the Arizona General Education Curriculum (AGEC) provides a pathway for transfer to the University.

The University engages community members in a variety of programs, activities, and educational offerings that raise social and cultural awareness. The University is engaged in mutually beneficial partnerships with communities across the state. It is also committed to help meet the educational needs of Arizona’s rapidly growing diverse population. The University’s diverse constituencies provide tremendous opportunities for expanded thought and inclusion in contributing to a broader learner experience.

The following list highlights a few programs and activities that provide a venue to share ideas and promote inclusion across cultures:

- The Tribal Leader Speaker Series includes Native American leaders who helped define sovereignty for Native Americans. It provides a venue to share ideas and help ensure future opportunities for Native Americans.
The Humanities, Arts, and Religion film series depicts different cultures and experiences.

Events sponsored by the Martin-Springer Institute provide lessons on the Holocaust and help promote moral courage, altruism, and tolerance.

The College of Education Teacher Workshops conducted in school districts statewide.

The President’s Speakers Series includes leaders from a wide range of disciplines who share perspectives and visions for the future of higher education.

The Northern Arizona University Art Museum manages three galleries: the Museum, Weiss, and Beasley galleries. The Museum gallery participated in Flagstaff’s First Friday Art Walk. All galleries are open for public viewing and house various exhibitions throughout the year.

The College of Arts and Letters participates in Flagstaff’s Annual Book Festival.
• Hundreds of people from departments across campus have participated in the Flagstaff 4th of July Parade, the Chamber of Commerce Holiday Light’s Parade, or the Navajo Nation Fair Parade held in Window Rock, Arizona, either as part of a University entry, community organization, or cheered from the sidelines.

**Northern Arizona University participates in partnerships focused on shared educational, economic, and social goals.** Northern Arizona University offers a dynamic learning environment that enables the alignment of ideas with outcomes, and supports partnerships to promote social inclusion and shared leadership. The University is able to meet economic and social goals that respond to real-world problems. For example, the University’s strong professional programs align with the state’s need for teachers, health care providers, nurses, social workers, hotel and restaurant management professionals, parks and recreation leaders, etc. These programs are all aimed at meeting community-level workforce development needs throughout Arizona.

Many centers and institutes work directly with a wide array of constituents to meet shared goals of service and economic development including:

- The Center for Business Outreach in The W.A. Franke College of Business enables Arizona’s rural, tribal, and northern Arizona business communities to succeed by delivering training, information, technical assistance, and support services.
- The Institute for Human Development serves rural and Native American communities with a focus on individuals with disabilities.
- The Institute for Future Workforce Development provides on-site, customized training, technical services, consulting services, workshops, and other educational services designed to enhance workforce development in all areas of the state.
- Critical social service needs in underserved populations are met by the Bachelor of Social Work cohort programs offered on the Navajo Nation and in Yuma, and by the graduate school counseling program cohorts offered on the Navajo Nation and in Phoenix and Tucson.
- The Translational Genomics Research Institute (TGen) is dedicated to translating genomic discoveries to advance human health. It allows experts to improve efforts to more quickly diagnose diseases and to strengthen the nation’s defense against bioterrorism and offers promise in stimulating the local economy.
- As a member of Science Foundation Arizona (SFA), the University will partner with other organizations to create economic development based on science to promote innovation and help create local start-up companies that could employ and retain students. This also promises to spur economic development and growth.
• The Ecological Restoration Institute (ERI) is nationally recognized for mobilizing the unique assets of the University to help solve problems caused by unnaturally severe wildfires and degraded forest health. The Ecological Restoration Institute assists in land management with agencies and communities throughout the West to preserve and maintain a healthy environment.

**COCONINO COMMUNITY COLLEGE**

The University leases land to Coconino Community College to house their facilities. Students have access to Northern Arizona University’s Cline Library and bookstore, and can live on the University’s campus in student housing when space is available. Likewise, members of the University faculty teach courses at Coconino Community College, while they in turn also serve on the University’s curriculum committee.

This relationship helps meet the need for expanded educational opportunity and supports an environment of collaboration that will ultimately benefit the state by educating tomorrow’s citizens.

Partnership agreements and contractual arrangements uphold Northern Arizona University’s integrity. Partnership agreements are vital to protecting the interests of all parties. (Partnerships and contractual arrangements fall under the compliance and regulatory processes described in detail under Criterion 1.) The University has a strict and very limited list of those authorized to sign contracts on behalf of the University, which is updated and distributed annually to leadership groups throughout campus. The Office of Grant and Contract Services also provides oversight for agreements for internship services and other partnerships.

Agreements with other government entities are administered through an Intergovernmental Agreement (IGA), as in the case of the new conference center partnership with the City of Flagstaff. Agreements with private organizations may be established through a Memorandum of Understanding (MOU), as in the case of a recent agreement signed with the Museum of Northern Arizona to “enhance collaborative research, education, and service related to the people, culture, natural history, and environments of the Colorado Plateau.” Partnerships with community colleges are also represented through an MOU.

**CORE COMPONENT 5D: Internal and external constituencies value the services Northern Arizona University provides.**

Reciprocity in relationships and communication with constituents enable the University to assess the impacts and value of its programs and services. Surveys,
feedback on events, structured dialogues, and formal reports evidence the positive evaluation of the University’s activities by those served.

**Northern Arizona University’s evaluation of services involves the constituencies served.** The University regularly evaluates actions and relationships to determine success and viability. The University uses different approaches, depending on the constituency involved.

**Students:**
Student feedback on perceptions of teaching effectiveness is solicited for every course, every semester. This feedback is shared with the faculty member as well as department chairs, program directors, and deans. Distance Learning regularly seeks student feedback on services provided by the Distance Learning locations and central office staffs. Students attending winter and summer sessions both on the Flagstaff campus and at a distance are surveyed each summer.

**University Leadership:**
Information is collected and analyzed after various activities and events. For example, the president holds a “Leadership Day” retreat for leaders at least once per semester. All participants are asked to fill out a survey after the day’s activities and the feedback is used to improve effectiveness for subsequent Leadership Day gatherings.

**University Employees:**
Ongoing professional development activities throughout campus include an evaluation component which is used to determine effectiveness and help drive future programs. Major segments of the University workforce have councils (Classified Staff Advisory Council, Service Professional Advisory Council, and Council of Academic Professionals) that provide a method to express concerns about institutional issues. Potential changes in policy are regularly discussed with these groups in advance of implementation.

**Alumni:**
The Alumni Office also seeks regular feedback on events and uses this feedback to make adjustments accordingly.

**Community Leaders:**
Community breakfast meetings give the administration a venue to understand the issues and concerns that university actions and activities bring to the community.
A RIVER REBORN: THE RESTORATION OF FOSSIL CREEK
The inspiring rebirth of a biologically critical river in Arizona is recounted in A River Reborn: The Restoration of Fossil Creek. The one-hour documentary examines the ecological effects of a dam and hydroelectric facility on the waterway and chronicles the 15-year effort that led to decommissioning. The film is narrated by actor Ted Danson and produced by five-time Emmy Award-winner Paul Bockhorst.

A River Reborn is a powerful case study in environmental restoration. It is emblematic of a broad reassessment of rivers and dams globally, as well as the growing effort to balance fulfillment of human needs with protection of the natural systems that support human life. This includes the safeguarding of precious water resources and the protection of threatened and endangered species. As a focal point for this reassessment, Fossil Creek reveals both challenges and opportunities associated with riparian restoration.

From the Web site of Merriam-Powell Center for Environmental Research

Northern Arizona University’s economic and workforce development activities are sought after and valued by civic and business leaders and the communities they serve. The University’s participation in economic and workforce development activities is evident in its history. Early in its history, the University was a “teacher’s college” and today Northern Arizona University continues to offer leadership in providing highly qualified, sought-after teachers for the state’s workforce.

When the Arizona University Redesign was initially proposed, it created significant anxiety throughout the state. Numerous University constituents expressed support for the University in a number of venues. At the June 2004 Arizona Board of Regents meeting that support was evident when community leaders openly expressed appreciation and commitment to the University. Speakers included the corporate counsel for W.L. Gore & Associates, who noted that more than one-third of Gore’s scientists and engineers have some connection to the University. The Mayor of Flagstaff reminded the Regents of the University’s importance to the local and regional economy. As a result, community leaders came together to form the “Northern Arizona Task Force on Higher Education” to raise awareness and to testify to the usefulness of the University in the communities it serves.

Significant local support was critical in the development of the new conference center and hotel complex in Flagstaff. Community members who voiced their support to the Arizona Board of Regents included the Mayor of Flagstaff, a representative of the “Flagstaff Forty” leadership group, the president and CEO of the Greater Flagstaff Economic Council, and the president and CEO of the Flagstaff Chamber of Commerce.
On a more general scale, the state and the Arizona Board of Regents are involved in an initiative to improve access to health care education. Northern Arizona University was specifically solicited to be involved in this project, which will involve Arizona State University, the University of Arizona, and Northern Arizona University working toward a common goal of educating more health care professionals to meet an impending shortage of these professionals in Arizona. A new facility, located in downtown Phoenix, will offer a visible result of innovation and community service.

Since 2002, the state of Arizona has demonstrated its confidence in the University through investments in Proposition 301, the Technology and Research Initiative Fund (TRIF). The use of TRIF funds is limited by legislation specified in *Arizona at Risk: an Urgent Call to Action* and *Arizona Partnership for a New Economy*. The rationale and plans have been further developed by Battelle Science and Technology International for the Flinn Foundation and the Arizona Department of Commerce to address critical workforce needs.

During the last five years, TRIF funding supported the following five University initiatives:

- Growing Biotechnology (GBI)
- Environmental Research, Development, and Education (ERDENE)
- Access and Workforce Development (AWD)
- e-Learning
- Infrastructure

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The Growing Biotechnology Initiative (GBI) and Environmental Research, Development, and Education for the New Economy (ERDENE) are research initiatives that apply interdisciplinary approaches in the areas of the biology, ecology, environmental sciences, and engineering. ERDENE programs include a highly subscribed community-supported agriculture program and successful workshops on direct-marketing of place-based foods. These programs were attended by ranchers, farmers, and small business proprietors.

Access and Workforce Development (AWD) and e-Learning initiatives expand access to baccalaureate and post-baccalaureate education for time and/or place-bound students, and serve the interests of professional communities tenuously spread around the state and region. These programs contribute to workforce development in meeting the needs of Arizona’s growing economy.
TRIF allows the University to engage in projects to increase capacity to support the biological and environmental sciences. (See list of capital projects in Criterion 2.)

Northern Arizona University programs for workforce development are widely utilized. For example, public workshops and private training at the Computer Training Center are well-attended and used by many of the largest employers in the state and region, including the Arizona Department of Education, Arizona K-12 Center, and the City of Flagstaff. The Center for American Indian Economic Development offers hands-on grant writing and research training (NAU GrantSmart), which have been well-attended by Native organizations and tribes. They received superlative evaluations from attendees ranking 9.2 on a 10 point scale.

Many institutes and centers support economic and workforce development. For example, the Ecological Restoration Institute (ERI), works to heal fire-adapted forests and other ecosystems in Western North America by providing knowledge to the public, land management agencies, nongovernmental organizations, academic researchers, and students.

The Sustainable Energy Solutions group works with industry, policy makers, and national laboratories to develop sustainable energy-based products, such as wind and solar power. The University’s successful annual Southwest Renewable Energy Conference provides a forum for national experts to exchange ideas and information about renewable energy.

External constituents participate in Northern Arizona University activities and co-curricular programs. The University’s role as a “Steward of Place,” extends beyond economic and workforce development to include culture, athletics, and the arts. The University sponsors numerous events and gatherings that are well attended by constituent groups from throughout the region. These outreach activities are vital to enhance the quality of life in the community and to provide community enrichment venues that foster friendships and celebrate the essence of the University.

On the Flagstaff campus, participation in sporting events has increased. The Athletics Director has made significant strides in creating organizations that foster inclusion and in bringing new and renewed levels of involvement in football, men’s basketball, women’s basketball, and women’s soccer. Athletic camps are also well attended and fundraising events offer further evidence of community support.

Northern Arizona University student athletes contributed 3,116 hours of community service from 2004-2005. Special projects included:

• Special and Senior Olympics
• Care and Share Food Bank
• Flagstaff Family Food Center
Northern Arizona University Self-study Report

- YMCA
- Climb to Conquer Cancer
- Adopt-a-Pet
- United Way
- Toys for Tots

Other University-community activities include regional civic events like the Auto Show, Home Show, Pow-Wow, and Miss Indian Scholarship Pageant. The Flagstaff Symphony, concerts, plays, and movies offer other examples.

During the past few years, University Advancement has involved alumni by hosting events like a wine-tasting event in Phoenix, Del Mar races in San Diego, “CSI Night” in Flagstaff, and the King Tutankhamun exhibit and lecture in Los Angeles. These sold-out events have spurred thinking about additional outreach efforts to help encourage continued involvement with this important constituency group.

Northern Arizona University’s facilities are available to and used by the community. The University is proud to be an integral part of the Flagstaff community and of local communities around the state. This is illustrated by the availability of University facilities for use by local and statewide communities. A few examples include the Cline Library, the Wall Aquatic Center, the Center for High Altitude Training Center, and the Skydome, which is used for numerous regional high school events and ceremonies. The Pattea Conference Room is routinely used by Native American tribes. Performance venues such as Ardrey Auditorium and Ashurst Auditorium are also important venues for community events.

SUMMARY

Evidence shows that the University is deeply integrated in the many communities it serves. Engagement and service form the very foundation for strong stewardship efforts that include a myriad of constituency groups.

Northern Arizona University’s ongoing stewardship efforts form the basis for a wide range of partnerships both in social service and economic development. As noted, the futures of the University and the communities it serves are increasingly intertwined. During the last few years, this enterprise approach to social and community engagement has become a presidential priority in guiding the University as an engine of education and economic growth, and as a catalyst for innovation in an increasingly competitive world. University leaders are sensitive to sustaining and increasing partnerships and commitments between the University and its many constituency groups, both on and off campus.

The University conducts extensive outreach programs through Distance Learning, which is a key part of its mission reaffirmed by the Arizona Redesign for Higher Education plan. Long-term partnerships with community colleges and local
agencies provide access to higher education without having to leave local communities. Those partnerships are varied and undergo constant review in order to adapt to the changing dynamics of the students, the market, and of the local communities.

One of the University’s fundamental principles is its commitment to serve underrepresented populations. Members of the University community realize that each community is different and partnerships are forged to provide services to meet local needs and conditions. Examples of these dynamic efforts are evident in service to Native American communities and students, as well as the emphasis on producing educators to serve from preschool to the doctoral level.

The Self-study process and other initiatives have identified next steps for continuous improvement in engagement and service.

1. The Arizona Redesign of Higher Education recognizes that through Northern Arizona University an additional 15,000 students will need to be educated through Distance Learning within the next few years. Successful partnerships with community colleges are critical to achieve this goal. The University must continually adapt to external circumstances that may change the development of community colleges as some seek to become four-year degree granting schools.

**PROGRESS:**

- Numerous relationships have been forged or reaffirmed in the last few years. The recent Memorandum of Understanding (MOU) with Maricopa County Community College District (MCCCD) is an example of how the University is collaborating to serve a growing student population. The Maricopa Community Colleges comprise the largest community college district in the country and provides a model of entrepreneurialism in higher education.
- The University signed an MOU with Yavapai College in 2004. This agreement includes offering expanded learning opportunities in Prescott and the Verde Valley to better serve the growing demand for higher education in that region driven by population growth. A dual admission agreement with Yavapai College was signed in May 2007.
- The Yuma campus was given the designation of a branch campus by the Arizona Board of Regents in 2006 and is undergoing dramatic changes to better serve an underserved population. This commitment is forming the basis for a new model of collaboration and learning.

2. The University has undergone extensive internal leadership changes to reinforce and improve community engagement and dialogue. The creation of externally focused leadership positions such as the Vice President of Extended Education, Vice President of Advancement, and Director of Community Relations, and the Associate Vice President and Campus Executive Officer for the University’s Yuma branch campus offers examples of institutional dedication to outreach programs.
PROGRESS:
• The Office of Advancement expanded outreach efforts to re-engage alumni, donors, and other University partners.
• Athletics programs increased marketing and outreach to encourage community participation in events. They emphasize joining athletic associations to become involved in University programs and events. Most home athletic events are now broadcast locally on cable TV and nationally on the University's Dish Network UniversityHouse satellite channel.
• Expansion of University-community events are fostering engagement and dialogue among parents, alumni, students, community members, faculty, staff, and others.
• The Associate Vice President and Campus Executive Officer for the University’s Yuma branch campus has initiated a comprehensive strategic planning process involving a wide range of external and internal constituents. The emerging plan will identify how the University’s Yuma branch campus will evolve to serve the needs of the diverse and growing communities of the lower Colorado River region.

3. Northern Arizona University has deepened its commitment to stewardship and partnerships to benefit the region and its communities. Education, health, and environment are arenas in which the University intends to expand its engagement and impact.

PROGRESS:
• University leadership is actively involved in statewide efforts to improve P-12 education through service on the Governor’s P-20 Council, and the Committee for Teacher Quality and Support. In February 2007, President John D. Haeger was appointed to the State Board of Education.
• The University has developed a strategic plan for expansion of programs in health professions and sciences. The first phase of implementation is under way. Programs in nursing, physical therapy, dental hygiene, and athletic training will increase capacity and extend offerings on-site in the Phoenix metropolitan area.
• The growth of environmental research and educational programs has strengthened the University’s capacity to collaborate in addressing regional environmental problems and promote sustainable technologies and practices for community development. Plans for consolidation of environmental programs are under consideration.
The University consistently maintains its commitment to “provide an outstanding undergraduate residential experience strengthened by research, graduate and professional programs, and sophisticated methods of distance learning.” The diverse nature of this mission has allowed the University to implement governance and administrative structures, leverage assets, promote more effective leadership, inclusion, and collaborations necessary to serve the region and its many constituent interests in the future.

Since the last accreditation process, the University has renewed its emphasis on the student experience. A richer learning environment is now available allowing students to engage in hands-on experiences and close faculty-student collaborations that provide opportunities to address and solve real-world problems. Newly dedicated budgets, space, and faculty reinforce that commitment, while the ongoing assessment of student experiences promotes effective program design, instruction, and advisement. This is all complemented by new and remodeled buildings that provide state-of-the-art living-learning environments wherein students can achieve their full potential.

Strategic planning has become a University-wide priority and through the centralization of budgeting and planning, more comprehensive and successful management of priorities have been achieved. This new structure not only informs direction, but ensures accountability that aligns with expectations. The University has overcome structural budget deficits to build reserves that tackle key University priorities. And through a process of inclusion, great strides have been made in the planning process—resulting in a university-wide, shared responsibility for actions and outcomes.

Since the last NCA Self-study in 1997, the world has undergone tremendous change. This is an exciting time of instant communication and heightened global awareness. It is also a time of challenges and opportunities that are at once individual and collective, with far-reaching implications. This Self-study Report documents how Northern Arizona University has evolved in this new era as a dynamic learning community prepared to meet the challenges and opportunities ahead.

Conclusion

The University consistently maintains its commitment to “provide an outstanding undergraduate residential experience strengthened by research, graduate and professional programs, and sophisticated methods of distance learning.” The diverse nature of this mission has allowed the University to implement governance and administrative structures, leverage assets, promote more effective leadership, inclusion, and collaborations necessary to serve the region and its many constituent interests in the future.

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The University is elevating the profile of teaching faculty by instituting structures that reflect the importance of that role within the changing character of work in the new age. The President’s Award for Faculty Achievement, the Faculty Development Program, the Teacher-Scholar and Faculty Advisor award, and the annual Teacher of the Year awards through the respective colleges are a few examples of that effort. Faculty achievements are also noted through numerous venues that include InsideNAU, the University’s Web site, recruitment publications, press releases, Horizon Magazine, and more.

Of course, there have been dramatic advances in research over the last ten years. These advances have provided expanded opportunities to access information, collaborate with peers, and contribute to regional and global communities. The University has led discoveries in the biosciences, forestry, environmental studies, and other areas. Work in education and the social sciences has likewise resulted in solutions that support communities, social services, and that further teaching and learning. The University’s arts and humanities program contributes substantially to the region’s cultural vitality. The future holds great promise for the University as it moves forward with the TGen, Arizona Science Foundation, Centennial Forest effort, the conference center and hotel complex, Ecological Restoration Institute (ERI), and more. Many of these efforts provide the very foundation necessary to a world-class education.

Northern Arizona University’s Distance Learning programs combined with dramatic population growth in Arizona makes the University a vital resource in meeting Arizona’s workforce development needs. The University has invested heavily in site expansion across the state and in an extensive technical infrastructure that serves as a unique model for other states. This effort has resulted in programs and delivery that are flexible enough to cross traditional geographic and cultural boundaries. Increasing access to education throughout Arizona promotes equity.

A thriving learning community also requires that technology be integrated throughout campus. Northern Arizona University has accomplished this by providing the latest technological advances in labs on campus and across the state, Cline Library resources, state-of-the-art residence halls, and throughout common areas. System upgrades and centralization of functions provide for greater efficiency in administrative and support functions.

Globalization not only means becoming more aware of the world, but is also demonstrated at the local level through partnerships and collaborations that help strengthen communities. This role as “Stewards of Place” ensures universities are integrally involved in the economic, social, and cultural health of the communities they serve. Northern Arizona University has long embraced this principle and continually institutes practices that foster collaboration with a wide range of constituencies, cultures, and socio-economic groups. The result is an infrastructure that is inclusive, adaptable, and engaging.
Globalization has also resulted in cultural and demographic changes fueled by geographic mobility and shifts in wealth. These changes manifest at the state and local level. As the nation's fastest growing state, Arizona is a microcosm reflective of these changes. Northern Arizona University has a tradition of serving rural populations and providing higher education opportunities to Native American and Hispanic populations—often when no other options for a higher education are available. This commitment to diversity will continue into the future as the University also builds international relations with China, Europe, Asia, and others as opportunities arise. This “environment of inclusion” expands opportunities for understanding and tolerance in this new age.

The Self-study process has provided an opportunity for the critical self-review of the past ten years. There are challenges associated with the changing nature of a global society. The University has not only adapted, but in many instances used innovative new approaches to lead change across constituencies. Great progress has been made—often through tenacity, dedication, skill, and even trial and error. This Self-study Report celebrates those achievements and demonstrates that the University is well positioned for the future.

THE FUTURE OF NORTHERN ARIZONA UNIVERSITY

Northern Arizona University’s new strategic plan maps the future of the University and its service to the region and engagement with the world. Threaded through the plan are core commitments that will advance the University’s mission in a changing world.

NORTHERN ARIZONA UNIVERSITY WILL:

- Employ an “enterprise” model of action that combines mission with innovation to educate, spur economic development, ensure institutional viability, and foster successful partnerships that will manage change and shape the future.

- Expand its research mission to develop solutions and actions that serve the public good via new ventures and partnerships, and to strengthen the foundation of curriculum and learning.

- Provide Arizona’s growing population with access to a higher education through a multi-campus university where existing and new sites will combine high-tech with high-touch for greater student-centric learning.

- Expand programs and services to increase accessibility and opportunity for students who need more flexibility, and to eliminate barriers to achieving a higher education.
• Use strong **accountability** measures at all levels of functionality through a sophisticated strategic planning process that charts a well-conceived strategic course.

• Place increased emphasis on student retention and graduation rates through assessment and intervention strategies that ensure positive student **outcomes**.

• Be a leader in educating teachers, engineers, and health care professionals to meet **workforce development** needs in Arizona and elsewhere.

• Strengthen its service and commitment to **Native American** students and their communities.

• Support an environment of inclusion where **diversity** initiatives promote understanding and opportunities, and serve as a model for other universities.

• Execute **international** initiatives that build relationships and ensure its place as a global partner and player in education, research, and service.

• Fulfill its obligations as “**Stewards of Place**” by working with community representatives in education, service, and through entrepreneurial acts of engagement.

• **Maximize resources** to support the mission, increase the quality of the Northern Arizona University experience, and sustain the viability of the University.

• Support a **campus culture** that stimulates creativity, encourages professional development, and recognizes and awards achievements.
The Handbook of Accreditation published by the Higher Learning Commission of the North Central Association of Colleges and Schools requires a section addressing the following policies set forth by the Commission:

- Credits, Program Length, and Tuition (policy I.C.7)
- Institutional Compliance with the Higher Education Reauthorization Act (policy I.A.5)
- Federal Compliance Visits to Off-Campus Locations (policy I.C.2)
- Institution’s Advertising and Recruitment Materials (policy IV.B.2)
- Professional Accreditation (policy III.A.1)
- Requirements of Institutions Holding Dual Institutional Accreditation (policy III.A.3)
- Institutional Records of Student Complaints (policy IV.B.4).

SECTION A: Credits, Program Length, and Tuition

The Commission expects an affiliated institution to be able to equate its learning experiences with semester or quarter credit hours using practices common to institutions of higher education, to justify the lengths of its programs in comparison to similar programs found in accredited institutions of higher education, and to justify any program-specific tuition in terms of program costs, program length, and program objectives. Affiliated institutions notify the Commission of any significant changes in the relationships among credits, program length, and tuition. (Handbook of Accreditation, page 8.2-1)

A1. Credits

Policy 2-206 Academic Credit in the Arizona Board of Regents policy manual defines a unit of credit as:

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

1. At least fifteen (15) contact hours of recitation, lecture, discussion, testing or evaluation, seminar, or colloquium, as well as a minimum of thirty (30) hours of student homework is required for each unit of credit;
2. Workshops must involve a minimum of forty-five (45) hours for each unit of credit, including a minimum of fifteen (15) contact hours, with the balance of the requirement in homework;

3. Studios must involve at least thirty (30) contact hours and at least fifteen (15) hours of homework for each unit of credit;

4. Laboratory courses require a minimum of forty-five (45) contact hours per unit of credit;

5. Field trips will be counted hour for hour as laboratory meetings;

6. Each unit of internship or practicum must require a minimum of forty-five (45) clock hours of work;

7. Music instruction and specialized types of music performance offerings must conform to the requirement for accreditation of the National Association of Schools of Music; and

8. Off-campus courses, regardless of mode of delivery, may be assigned credit based on competencies or learning outcomes that are acquired through coursework and are equivalent to those of students in a traditional classroom setting. An equivalent of forty-five (45) hours of work by each student is required for each unit of credit.

Because the unit of credit as defined by the Arizona Board of Regents is the cornerstone of Northern Arizona University’s academic degree plans, transfer credit must be based on a similar unit of credit. (additional information can be found at Northern Arizona University’s online catalog).

A2. Program Length

Policy 2-401 Academic Year Calendar in the Arizona Board of Regents policy establishes the parameters for the length of the academic year:

The Board shall adopt academic year calendars setting the first day of instruction and the last day of final examinations for each university in the Arizona University System for the Fall and Spring semesters. The last day of the Fall semester must be no later than December 22. All variations from the approved dates must be authorized by the Board at least one year in advance. Within the approved dates, each university may arrange its class and holiday schedule depending upon the needs of its students, local customs, and the requirements of Board Policy 2-206A, Definition of a Unit of Credit.

A3. Tuition

Northern Arizona University has no program specific tuition. Tuition is currently differentiated only by campus, career (undergraduate or graduate), and residency (Arizona residents or non-resident). The University charges seven basic tuition rates:
- Resident Undergraduate (Flagstaff Campus)
- Resident Undergraduate (Distance Learning)
- Non-Resident Undergraduate (Flagstaff Campus)
- Non-Resident Undergraduate (Distance Learning)
- Resident Graduate
- Non-Resident Graduate (Flagstaff Campus)
- Non-Resident Graduate (Distance Learning)

Tuition rates are published on Northern Arizona University’s Web site for undergraduate and graduate admission, as well as the Bursar’s office, and Distance Learning.

Northern Arizona University participates in two programs sponsored by the Western State Commission for Higher Education (WICHE) that provide reduced tuition to non-resident students. The Western Undergraduate Exchange (WUE) is a student exchange program administered for Arizona by the Arizona Board of Regents. Through the Western Undergraduate Exchange, residents from participating WUE states attend Northern Arizona University in certain programs at a tuition which is 150 percent of Northern Arizona University’s regular resident tuition. The WUE tuition rate is considerably less than non-resident tuition. The Western Regional Graduate Program (WRGP) allows graduate students from WICHE states to pay resident graduate tuition in select Northern Arizona University programs.

**WICHE States:**

<table>
<thead>
<tr>
<th>Alaska</th>
<th>Montana</th>
<th>South Dakota</th>
</tr>
</thead>
<tbody>
<tr>
<td>California</td>
<td>Nevada</td>
<td>Utah</td>
</tr>
<tr>
<td>Colorado</td>
<td>New Mexico</td>
<td>Washington</td>
</tr>
<tr>
<td>Hawaii</td>
<td>North Dakota</td>
<td>Wyoming</td>
</tr>
<tr>
<td>Idaho</td>
<td>Oregon</td>
<td></td>
</tr>
</tbody>
</table>

Northern Arizona University Distance Learning students may qualify for reduced tuition rates based on the types of classes they are enrolled in, the state in which they live, and their residency status. Generally, non-resident students with an out of state address that are only enrolled in electronically delivered courses (web or satellite courses) in the fall and spring terms only are charged 150 percent of in-state tuition. Further descriptions of Worldwide University (WWU) students and the Good Neighbor Policy are available online. For detailed tuition information by category, refer to the Bursar’s Web site.
SECTION B: Institutional Compliance with the Higher Education Reauthorization Act

The Commission expects that its affiliated institutions comply if required with the Title IV requirements of the Higher Education Reauthorization Act (HERA) as amended in 1998. Therefore, institutions will provide teams for review and consideration the most recent default rates (and any default reduction plans approved by the Department of Education) and any other documents concerning the institution’s program responsibilities under Title IV of the Act, including any results of financial or compliance audits and program reviews. Other Title IV mandated student notification requirements such as campus crime-reporting and release of student athlete graduation rates and completion/graduation rates are noted.

(Handbook of Accreditation, page 8.2-2)

B1. Northern Arizona University will provide copies of all relevant Title IV documents to the Higher Learning Commission’s site review team.

At Northern Arizona University, The Office of Student Financial Aid administers and awards all Title IV documents. The documents, Program Participation Agreement (PPA) and Eligibility and Certification Renewal (ECAR) can be found in the Financial Aid Office while the results for the Annual A-133 audit are located in the University’s Comptroller’s Office. Hard copies of these documents are also available in the resource room.

B2. Northern Arizona University maintains federal direct student loan default rates below national averages.

As provided by the U.S. Department of Education in 2004, the national default rate for federal student loans was 3.5 percent. Cohort default rates in 2004 by state as reported by the Department of Education indicate Arizona having 89 institutions, with 8,945 borrowers in default; 126,320 borrowers in repayment; and a statewide default rate of 7.0 percent. For fiscal years 2002-2004, Northern Arizona University’s default rates were slightly above, below, and at national averages respectively as reflected by the following:

| DEFAULT RATES: NATIONAL PUBLIC 4YRS (+): | NORTHERN ARIZONA UNIVERSITY’S: |
| 2004 | 3.5% | 3.4% |
| 2003 | 3.3% | 2.6% |
| 2002 | 4.0% | 4.5% |

Source for National: National Student Loan Data System

The default rate for Northern Arizona University dropped between the fiscal years 2002 and 2003, likely due to the initiation of a targeted letter campaign by Northern Arizona University’s Default Prevention Coordinator which identified
students that were entering delinquency on loan payments. The letters provide information on options for repayment and emphasize the seriousness of defaulting on outstanding loans. Additionally, due to several years of excellent interest rates and heavy marketing campaigns by lenders, loan consolidations are at record highs. Loan consolidation at low interest rates is a good way for students to avoid defaulting on outstanding loans.

Fiscal Year 2004
- Number of borrowers entering repayment: 3852
- Number of borrowers entered repayment and defaulted: 132
- Official Cohort Default Rate: 3.4%

Fiscal Year 2003
- Number of borrowers entering repayment: 3876
- Number of borrowers entered repayment and defaulted: 104
- Official Cohort Default Rate: 2.6%

Fiscal Year 2002
- Number of borrowers entering repayment: 3716
- Number of borrowers entered repayment and defaulted: 170
- Official Cohort Default Rate: 4.5%

B3. Perkins Loan information
Along with the Department of Education (DOE) computed default rates, Northern Arizona University submits through the Fiscal Operations Report and Application to Participate (FISAP) the default rates for our Perkins Loan Program. Federal Perkins loan collections are the responsibility of the Associate Bursar. She employs one full time employee, one part-time student worker and an outside billing service, Campus Partners, for the repayment and administration of Perkins loans. Northern Arizona University uses the services of three outside collection agencies, one attorney, and the Attorney General for the collection of delinquent loans. Perkins loans that are more than 10 years old, have an outstanding balance of $25 or more, are not in deferment status, and have made no payments are usually sent to DOE for collection.

Northern Arizona University has used Campus Partners for approximately 30 years as its outside billing service provider. Northern Arizona University is very pleased with the efficiencies and support the managing team of Campus Partners provides and intends to continue the current relationship. On June 30, 2004, the Cohort default rate was 10.40 percent. On June 30, 2005, the Cohort default rate was 9.96 percent and on June 30, 2006 our Cohort default rate dropped to 6.96 percent. If more information is needed, please contact the current Associate Bursar.
B4. Nursing Student Loan information

The Bursar’s Office at Northern Arizona University submits through the Nursing Student Loan Annual Operating Reports the default rates for our Nursing Student Loan Program. As with Perkins Loans, similar procedures for repayment and administration are in place with the University using the services of three outside collection agencies, one attorney, and the Attorney General for the collection of delinquent loans. Nursing loans that are more than 10 years old, have an outstanding balance of $25 or more, are not in deferment status, and have made no payments are usually sent to DOE for collection.

### Nursing Student Loan Default Rates:

<table>
<thead>
<tr>
<th>Year</th>
<th>Default Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004-2005</td>
<td>2.58%*</td>
</tr>
<tr>
<td>2003-2004</td>
<td>2.44%*</td>
</tr>
<tr>
<td>2002-2003</td>
<td>2.19%*</td>
</tr>
</tbody>
</table>

The difference between 2003-2004 and 2004-2005 in the Cohort Default Rate is due to the few number of loans in repayments.

*N:Source: Department of Health and Human Services*

### Fiscal Year 2004-2005

- Number of borrowers entering repayment: 50
- Number of borrowers entered repayment and defaulted: 1
- Official Cohort Default Rate: .93%

### Fiscal Year 2003-2004

- Number of borrowers entering repayment: 36
- Number of borrowers entered repayment and defaulted: 5
- Official Cohort Default Rate: 4.5%

### Fiscal Year 2002-2003

- Number of borrowers entering repayment: 38
- Number of borrowers entered repayment and defaulted: 4
- Official Cohort Default Rate: 3.7%

B5. Student Right to Know

Other federally mandated information of Title IV reporting requires disclosure of student notification requirements such as campus crime rates and university completion and graduation rates for students and student athletes. Northern Arizona University is in full compliance with Title IV mandated requirements concerning disclosure of campus crime and university graduation rates as noted by the following.
B5.1. Campus Crime (Clery) Report
Campus crime statistics for Northern Arizona University are reported annually in the Campus Crime Clery Report which can be viewed on the Northern Arizona University's Police Department webpage. Paper copies of the report are also available at the Northern Arizona University Police Department. In compliance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act the Northern Arizona University Police Department also maintains a Daily Campus Crime Log. The log, accessed via the department's web page, contains all the crimes that were reported to the Northern Arizona University Police Department during the most recent 30 days.

Additionally, on behalf of Northern Arizona University’s Chief of Police, the University’s Admissions Office sends out a letter to all newly admitted students at the start of the academic year outlining the services provided by the police department and directing them to the webpage. The annual Campus Crime Clery Report is also distributed to all faculty and staff in Northern Arizona University’s weekly newsletter the InsideNAU.

B5.2. Student Athlete Completion/Graduation Rates
For Northern Arizona University, Student Athlete Completion/Graduation rates are found in various documents. Reports for Northern Arizona University student athletes can be found on the NCAA’s Web site and additional information is in the board book of meetings for the Arizona Board of Regents (ABOR) and available publicly on the ABOR’s Web site.

B5.3. Completion/Graduation Rates
As required by the Students Right to Know Act, Northern Arizona University reports graduation rates, for one-semester through six-years, for entering freshman cohorts and makes the information available for public view via reports, Web sites, and a variety of public reporting mechanisms including the Arizona Board of Regents Accountability Measures (RAM) and the U.S. News and World Reports. The Office of Planning and Institutional Research reports the official rates on their Web site and updates the numbers daily.

SECTION C: Federal Compliance Visits to Off-Campus Locations
The Commission has determined that an off-campus site is a location at which a student can complete fifty percent or more of a degree program. A degree-completion site qualifies as an off-campus site when students in the program can complete all required courses there. Any site at which less than fifty percent of a degree program can be completed is considered a course location. (Handbook of Accreditation, page 8.2-3)
Northern Arizona University is a multi-site system with 37 site offices around the state of Arizona. The Northern Arizona University Yuma site was recognized as a branch campus by the Arizona Board of Regents (ABOR) in September, 2006. However, the Yuma campus remains integrated with the main Flagstaff campus in terms of administrative support services, curriculum, assessment, and faculty evaluation and development.

SECTION D: Institutional Advertising and Recruitment Materials

This policy clarifies the Commission’s concern about accurate consumer information, particularly advertising and recruiting materials. Organizations and teams should especially note that whenever an organization makes reference to its affiliation with the Commission, it will include the Commission’s address and phone number. The policy covers any reference to the organization’s status with the Commission, including references in radio messages and television ads and on billboards. In including the Commission’s contact information, the organization should use the URL of the Commission’s Web site, rather than the street address, and its local, rather than toll-free, phone number. (Handbook of Accreditation, page 8.2-3)

D1. Reference to Northern Arizona University’s affiliation with the Commission, including its URL and local telephone number are found in a variety of web and print documents, including the:

- Northern Arizona University’s Online Academic Catalog for Undergraduate and Graduate Programs
- Northern Arizona University’s Institutional Accreditation Web site
- Northern Arizona University’s Fact Book
- Northern Arizona University’s Office of Academic Assessment
- Northern Arizona University’s Distance Learning Web site

During the course of the self-study it was noted that several of these key documents and URL’s did not include the local telephone number in addition to the Commission’s web address. As such, a document was created that was sent to all areas listed above asking that the web pages properly reflect Northern Arizona University’s affiliation with the Commission by July 1, 2007. It was also requested that all printed documents be corrected in time for the next print cycle. Additionally, this document was shared with the President’s Cabinet to ensure all areas of the University understood how to properly cite Northern Arizona University’s affiliation with the Commission.
D2. Northern Arizona University clearly and prominently provides their own contact information so that students know how to reach the institution. The University’s contact information is easily accessible through the Academic Catalog, Admissions Web site, and all official pages at the University Web site.

SECTION E: Professional Accreditation
The Commission grants general institutional accreditation. Because the Commission accredits an organization as a whole, it cannot omit from its evaluation any area or program of an organization. However, the organization’s affiliation with the Commission—accredited or candidate status—is not equivalent to specialized accreditation of individual programs.

Institutional accreditation is not automatically affected by the accreditation given or withheld by any particular professional association, although the Commission does take cognizance of the standards set by professional societies. An organization identifies in its Annual Report to the Commission any adverse actions taken by professional accreditation agencies. *(Handbook of Accreditation, page 8-1.3)* Northern Arizona University has not been subject to adverse actions by any of the specialized accrediting organizations that recognize its degree programs.

E1. Professional Accreditation Agencies and Affiliations for Northern Arizona University
Several specific Northern Arizona University academic plans hold separate professional accreditations. A summary of these affiliations are found in the Academic Catalog and in the University’s Fact Book. The most recent reports from professional accrediting agencies are available in the applicable deans’ or program chairs’ offices. It should be noted that no accreditation body has taken any adverse action against any of the University’s programs, and all professional accreditations are in good standing. *No single agency accredits a significant portion of an institution’s programs (over 1/3) nor accredits programs with a significant portion of the institution’s enrollment (over 1/3).*

SECTION F: Requirements of Institutions Holding Dual Institutional Accreditation
The Commission accredits a small number of organizations that also are affiliated with one or more other CHEA recognized or federally recognized institutional accrediting associations. *(Handbook of Accreditation, page 8.1-2)*
F1. Northern Arizona University is not affiliated with one or more other Council for Higher Education Accreditation recognized or federally recognized institutional accrediting associations.

Requirements of institutions holding dual institutional accreditation is not applicable.

SECTION G: Institutional Records of Student Complaints

The Commission expects an affiliated organization to provide a comprehensive evaluation team with an organizational account of the student complaints that it has received and their disposition. This account should cover the two years of operation preceding the comprehensive evaluation. One manner of accounting is a log that tracks complaints from inception to disposition. The Commission believes that the reporting obligation should focus primarily on nontrivial complaints, either academic or non-academic, made formally in writing, signed by a student, and addressed to and submitted to an organizational officer with the responsibility to handle the complaint (Handbook of Accreditation, page 8-2.4)

G1. The University’s organizational account of student complaints that it has received and their disposition for the last two years are in:

- Northern Arizona University’s Affirmative Action Policy
- Office of the Provost
- Office of Student Affairs

The organizational accounts of student complaints for the last two years will be available for review in the Resource Room.