Periodic Review Report

California University of Pennsylvania
250 University Avenue
California, PA 15419

June 1, 2015

Geraldine M. Jones, Interim President

Most recent decennial evaluation team visit:
March 21-24, 2010

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SECTION 1: EXECUTIVE SUMMARY

1.1 Overview of California University of Pennsylvania

California University of Pennsylvania, a member of the Pennsylvania State System of Higher Education (PASSHE) is located on 294 acres in the borough of California, just 35 miles south of Pittsburgh on the banks of the Monongahela River. Founded in 1852 as a teacher training institution, the University has grown into a comprehensive regional university with a spring 2015 total enrollment of 7,536 (5,584 undergraduates; 1,952 graduate students), 40 buildings, three undergraduate colleges (Education and Human Services, Liberal Arts, Eberly College of Science and Technology), the School of Graduate Studies and Research, 130 undergraduate majors/concentrations, and 35 graduate programs. Cal U students have access to several resources that are considered high-impact educational practices, including the University Honors Program, the Center for Undergraduate Research, study-abroad options, first-year seminars, learning communities, and internships/capstone courses.

To advance the ultimate mission of building the character and careers of students, the University focuses its efforts on three goals: student achievement and success, institutional excellence, and community service. Cal U is committed to academic excellence and intellectual rigor in the context of the core values of personal and institutional Integrity, Civility and Responsibility.

1.2 Summary of the University's approach to the preparation of the PRR

In the spring of 2013, the Provost/Vice President of Academic Affairs sent two Associate Provosts and a faculty representative to the Middle States PRR workshop, thus beginning the two-year process of writing the PRR. An Associate Provost was appointed to lead the PRR project team. A steering committee consisting of staff, managers, students and faculty was organized, with a faculty member on one-half release time as co-chair. Other key committee members were an administrative assistant, an editor, and a graduate student assistant.

To manage the process, a timeline was developed and presented at the PRR kick-off webinar which was attended by steering committee members. A website was also developed so that committee members would have access to relevant documents, such as the 2010 self-study and subsequent follow-up reports.

A subcommittee, whose role was to review and update the recommendations from the previous evaluation, was organized. Headed by the PRR co-chair, members of this group were selected because they either chaired or were a member of a standards team for the 2010 self-study, which added the values of consistency and institutional memory to the process. The co-chair monitored the timeline, edited submitted documents, and served as a resource to the subcommittee. The output from this group was the response to recommendations in Section 2 of the PRR. Chairs of the Shared Governance task force, the Strategic Planning committee, and the General Education committee assisted with the respective Commission action sections of the PRR.

The PRR project leader managed the subcommittee responsible for writing sections 4, 5, and 6. On this team were mostly administrators and managers in the areas of budgeting, admissions, and institutional research.

Before the PRR was submitted to Middle States, the University community had the opportunity to view the report and provide feedback. A draft was posted on the PRR webpage where stakeholders could submit their comments. These comments were taken into consideration in the writing of the final version of the report.

1.3 Major institutional changes and developments since the decennial evaluation

Major institutional changes and developments since the 2010 self-study are related to Standard 4: Leadership and Governance, Standard 5: Administration, and Standard 12: General Education.

Standard 4: Leadership and Governance. The primary shared governance vehicle at Cal U since 2000 was the University Forum, an advisory group whose purpose was to enable greater participation in the decision-making process of the University for faculty members, students, administrators, staff, and alumni. The accomplishments of the Forum have been mixed; while the Forum has created new avenues for voices to be heard, the Forum members did not develop the most effective way for those voices to count. A review of the effectiveness of the Forum resulted in the president's recommendation to the University Council of Trustees (COT) to dissolve the University Forum, and in June of 2013 the COT voted to do that.

Interim President Jones immediately established the President's Task Force on Shared Governance and charged it with reviewing the existing shared governance system and recommending an improved shared governance process. The Task Force has completed its work;

the resulting report with recommendations has been approved by the President's Cabinet and will be presented to the COT for approval at the June 2015 meeting. If approved, implementation will begin in the 2015-2016 academic year.

Standard 5: Administration. In May 2012, Angelo Armenti, Jr., who had served as President of California University for almost 20 years, was relieved of his position. This action by the PASSHE Board of Governors (BOG) initiated a chain reaction of management personnel changes, and by December 2013, over 75% of the senior leadership had changed. For example, the current Interim President Geraldine Jones moved from Provost/Vice President of Academic Affairs to Acting President to Interim President and Associate Provost Bruce Barnhart was named Acting Provost/Vice President of Academic Affairs. As these changes occurred, many of the positions were designated as interim.

Over the past two years, upper-level management has stabilized; all but one of the interim positions have been converted to permanent status, and national searches have resulted in the hiring of managers in the offices of institutional research, social equity, and international programming. Regarding the interim president, the PASSHE BOG has notified the Cal U Council of Trustees president that the search for a university president can begin.

Standard 12: General Education. Since the decennial evaluation in 2010, the Cal U General Education (Gen Ed) program has undergone a series of significant changes designed to better align its organizational structure and procedures with Middle States expectations, the Cal U mission, and PASSHE guidelines. In accordance with PASSHE policies, the Gen Ed program was restructured to reduce the number of required credit hours to 40 for all academic programs; thus, Gen Ed categories, menus, goals, assessment procedures, and course requirements were revised. The most critical changes were the approval of a comprehensive Gen Ed assessment of student learning program in 2012 and the implementation of this program in the 2013-2014 academic year.

The Gen Ed assessment of student learning process has four steps: 1) approval of a course for one of the Gen Ed menus by the Gen Ed and University Curriculum Committees and Academic Affairs; 2) assessment of student learning by faculty; 3) review of assessment of student learning reports by the Gen Ed committee; and 4) use of results to enhance curriculum, teaching, and student learning. The first group of assessments is now being conducted; results will be available during the summer of 2015.

1.4 Abstract of the highlights of the PRR

The Cal U Periodic Review Report describes institutional advancements related to accreditation standards, challenges and opportunities, enrollment and finance trends and projections, assessment of institutional effectiveness, and linkages between institutional planning and budgeting. Cal U's response to recommendations from the previous evaluation and to Commission actions are summarized in Section 2. There is considerable overlap between the recommendations and actions in the areas of shared governance, strategic planning, and general education. Evidence of the progress that Cal U has made in these areas is documented in this section.

Section 3 identifies Cal U's major challenges and opportunities. While much progress has been made in stabilizing the upper level management team, demographic changes and decreases in funding are having a major impact on the University's ability to maintain consistent enrollments and a balanced budget. Opportunities to take advantage of the expertise of faculty and staff to help solve problems also exist.

As described in Section 4, state appropriations are decreasing at the same time that enrollment is declining. Cal U is aggressively engaged in strategic planning methods to reduce and/or eliminate expenditures and at the same time increase enrollment of new students and retain current students.

Cal U employs a variety of well-coordinated strategies to assess institutional effectiveness and student learning. Guided by the Assessment of Institutional Effectiveness Framework, the primary objective of this assessment process, detailed in Section 5, is to measure how effective Cal U is at achieving the goals of our mission and strategic plan.

The formal process that links planning and allocation of resources to the strategic plan at the division, unit, and program levels is documented in Section 6. The Center for Undergraduate Research and the new Mechatronics Engineering Technology program are examples of how the process successfully works.

This section of the Periodic Review Report contains Cal U's response to Commission actions, recommendations from the previous evaluation and recommendations from the Cal U self-study. To reduce redundancy in cases where the response to Commission actions directly overlaps with recommendations from the previous evaluations, the reviewer will be referred to the appropriate response to Commission actions for additional detail. Further, the response to Cal U recommendations is arranged by themes; an index in Appendix A shows the alignment between the Cal U self-study recommendations and the corresponding theme.

2.1 Response to Commission Actions

> A. Commission Action 1: Steps taken to strengthen shared governance (Standard 4)
> B. Commission Action 2: Further implementation of the new strategic plan (Standard 2)
> C. Commission Action 3: Further implementation of the new general education program and the assessment of the general education learning outcomes (Standard 12)

Since the 2010 evaluation, Cal U has worked diligently to develop a new shared governance model and a new strategic plan, and to implement the new general education assessment process. Some of this work is chronicled in the 2013 Progress Report.

The responses to Commission Actions 1 and 3 integrate the corresponding responses to Middle States recommendations.

A. Commission Action 1: Steps taken to strengthen shared governance (Standard 4)

As detailed in the December 2013 Progress Report, in June 2013 the University Council of Trustees (COT) responded to the recommendation of Interim President Geraldine Jones to dissolve the University Forum, which was the formal university shared governance process. The Progress Report documents the lack of effectiveness of the Forum as the reason for the President's recommendation. Jones immediately established the President's Task Force on Shared Governance and, in November 2013, she delivered the following specific charges to be completed by July 2014:

- Review and codify the existing shared governance system on campus and describe how the various governing entities relate to one another;
- Formulate recommendations about whether the current "system" simply needs minor adjustments or if a larger overhaul/revision is needed; and

- Develop recommendations for improved shared governance with a goal of streamlining, simplifying and formalizing the system while permitting all campus constituencies to have a voice;
- Review any unfinished business from the University Forum for current relevance.

The task force was composed of 13 members, including four administrators (provost, vice president, associate provost, and dean), five faculty (union president, Faculty Senate president, a department chairperson, and two at-large members), two students from student government, and a representative from each of two staff unions. The Forum's administrative assistant/secretary managed meeting schedules and arrangements, documented meeting minutes and progress reports, and maintained the shared governance task force website (http://www.calu.edu/about-us/shared-governance/index.htm). At the December 2013 COT meeting, the University president updated the COT on the newly formed "University Governance Task Force," including the reading of the president's charges.

Task Force deliberations and progress reports

The task force met regularly (or corresponded via e-mail) from November 2013 to May 2014. Eleven meetings took place and, at regular six-week intervals, the task force chairperson submitted progress reports to the University president outlining task force deliberations and decisions. These reports are documented on the shared governance website.

In June 2014, task force members met with the University president to present their proposal and recommendations for improving university shared governance. Addressing each of the president's charges, the task force submitted 5 final recommendations.

Recommendation 1: Acceptance and recognition of the principles of shared governance, the definition of shared governance, and the dialogue areas for decision making

Principles of shared governance:

- School administrators should inform potentially affected constituencies and provide them sufficient opportunity for dialogue before reaching decisions.
- All constituent groups should be able to participate and influence decision making and receive a reply to their contributions.
- School administrators retain authority to make final decisions, and participation in this process should not impede timely decision making.

Definition of shared governance:

California University believes the process for making decisions affecting university constituencies will be based upon mutually supportive and respectful dialogue, which involves broad and regular two-way communication. University authorities have a responsibility to inform potentially affected constituencies and provide them sufficient opportunity for dialogue **before** decisions are reached. All such constituencies will have the opportunity to influence decision making and retain the right to receive a reply.

The shared governance model at California University gives a "voice" to all constituent groups potentially affected by a decision. This "voice" involves mutual participation in the decision making process, no matter who initiates or responds to recommendations, which are broadly considered any suggested course of action whether or not formally presented in writing. Participation in this process recognizes administrators' authority to make final decisions and depends upon timely responsiveness of all interested parties.

Dialogue areas for decision making:

Planning and annual goals	Technology
Budget allocations	University travel
Academic life	Safety and welfare
Faculty life	Schedule development
Student life	Diversity & social equity
Staff life	Capital projects & renovations
Facilities & space utilization	Athletics

Recommendation 2: Acceptance and recognition of the various elements within the current governing structure (absent the Forum), such as the requirements of collective bargaining agreements, other well-established institutional processes for decision-making, and those constituent groups that fall outside the formal governance structure

Recommendation 3: Commitment of time, personnel, and resources to carry out governance responsibilities effectively, including making shared governance a recognized and established portion of institutional meetings

Recommendation 4: Endorsement for the diversified model of shared governance, which conceptualized three different models of decision-making dependent upon the issues addressed

One model created a budget and planning committee to consider those issues; another model placed all academic issues before the University curriculum committee; and the third model functioned so other issues affecting students, faculty, or staff could be addressed directly with those constituencies. These three models also examined the composition of and communication between each group. In summary, these models indicate that dialogue takes place

between university administrators and constituent groups depending upon the subject raised or the group affected.

Shared Governance constituent dialogue is depicted in the following chart.

SHARED GOVERNANCE CONSTITUENT DIALOGUE
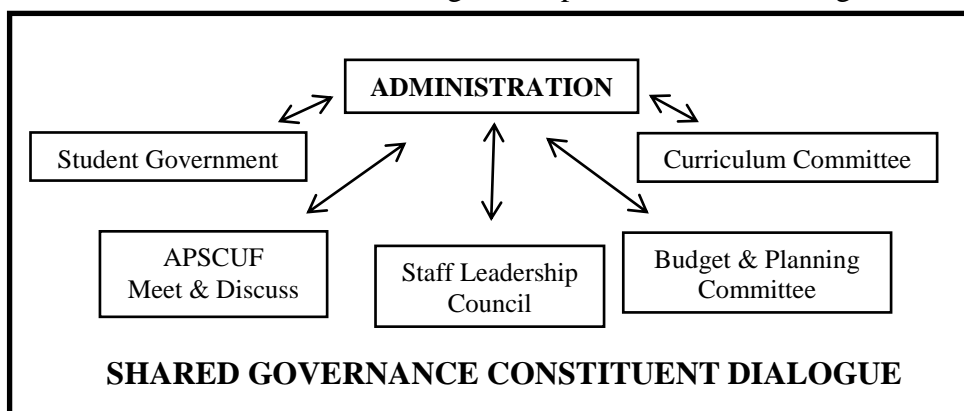
Recommendation 5: The University Forum's unfinished business is of continuing relevance within the proposed shared governance model.

Feedback/Review

After the Task Force on Shared Governance submitted its report to the president in June 2014, the University president asked the Task Force to solicit feedback from all campus constituencies. The Task Force met in November 2014 to consider modifying the report to include some of the feedback. The Task Force then submitted a final report, including recommendations, in December 2014.

The final report retained much of the information found in the initial report. The final report includes an explanation that defines "shared governance" to dispel doubts about what it means in practice. The explanation reads:

> The primary purpose for university shared governance is the sharing of information; it is not sharing authority to make decisions. The cost of shared governance is the expenditure of time, so the system will need to avoid unnecessary delay; the benefit of shared governance is making informed decisions, which ultimately may improve decisions, and in the end may be viewed as more legitimate decisions. By giving a "voice" to all potentially affected parties, shared governance fosters mutual trust and respect. Through sharing this "voice" during the decision-making process, even those who may oppose a final decision will realize their "voice" was heard and their objections acknowledged. The success of shared governance depends upon each participant understanding his or her role and actively participating in the process. Inattention, ignorance, and apathy will lead to failure; but actively engaging in the process assists the administration in making better-informed decisions.

See Appendix B for a copy of the final task force report.

<u>Next steps</u>

The COT received an update/status report at its March 2015 meeting. The proposed shared governance plan has been approved by the University president. It will be presented to the COT for approval at their June 2015 meeting.

<u>Evaluating the shared governance process</u>

The Task Force was not charged with developing a process to evaluate the shared governance plan. Once the proposed plan is adopted, an evaluation process will be developed. The evaluation process will be comprehensive and will include reviewing meeting minutes, conducting surveys and holding focus groups/discussions.

B. <u>Commission Action 2: Further implementation of the new strategic plan (Standard 2)</u>

California University of Pennsylvania notified the Middle States Commission in the December 2013 Progress Report that it was in the process of developing a new strategic plan. The 2009-2012 strategic plan is documented in Appendix C, along with the report card and matrix for assessment activities that were developed to measure the University's success in completing each goal in the 2009-2012 plan. The analysis of assessment activities shows the University met 91% of its goals. Goal 5, to continue to improve Cal U's infrastructure, had the lowest percentage at 67% of completion.

The Progress Report also noted the three strategic priorities identified by Interim President Jones for the University as: 1) staying true to our core mission of the academic education of our students; 2) stabilizing and increasing enrollment; and 3) instituting sound business practices to insure the financial stability of the University. These findings and priorities will be instrumental in the development of the new strategic plan. The Progress Report stated that Dr. Stephen Whitehead, associate provost/associate vice president of the Office of Academic Affairs, is leading this project.

A University Strategic Plan Committee was empanelled in fall 2014. The committee is made up of a broad representation of members of the University community, including students; Academic Affairs; University Advancement; Administration and Finance; University Development; Faculty Senate; Chair's Forum; Colleges of Education and Human Services, Liberal Arts, and Science and Technology; faculty; Student Affairs; Athletics; and represented union employees (State College & University Professional Association, American Federation of

State, County and Municipal Employees and Association of Pennsylvania State College and University Faculties). The committee met regularly during the fall and spring semesters.

As reported in the Progress Report, development of the new strategic plan is following the timeline below.

- Review and Establish the Mission – **completed**
- Review and Establish the Vision – **completed**
- Conduct SWOT analysis – **completed**
    o The SWOT analysis is to be presented (**May/June 2015**) to the campus community.
- Present update to University COT – **June 2015**
- Establish the strategic priorities – **Summer 2015**
    o Goals
    o Objectives
    o Measures
    o Success criteria
- Develop Strategic Plan report card – **Summer 2015**

The committee tentatively has approved the following vision and mission statements and goals.

Vision Statement: Supporting the PASSHE vision, California University of Pennsylvania will exemplify academic excellence, innovation, service, personal growth and social justice for all.

Mission Statement: The mission of California University of Pennsylvania is to provide a high quality, student-centered education that prepares an increasingly diverse community of lifelong learners to contribute responsibly and creatively to the regional, national, and global society and serve as a resource to advance the region's cultural, social and economic development.

Goals: In our 2010 self-study, Cal U recommended that the strategic plan and the self-study be combined into one process. Toward that end, the goals of the new strategic plan are aligned with the new Middle States standards. The goals of California University of Pennsylvania will be to:

1. Enhance academic excellence and experience (aligned with new MS standards I, III, and V).

2. Operate using sound and efficient fiscal and governance practices (aligned with new MS standard VI).

3. Create a transformative learning and working environment that promotes diversity through a culture of civility and inclusiveness (aligned with new MS standards I, II, and VII).

4. Serve in the areas where we live and learn throughout the region, the Commonwealth, the nation and the world (aligned with new MS standards I, III, and IV).

The development of the new strategic plan will continue through the timeline above, with the goal of implementation during the 2015-2016 academic year. To that end, a small subgroup of the committee has been established and will begin drafting the objectives and measures for the goals over the summer. The new strategic plan will be presented to the COT at its September 2015 meeting.

C. Commission Action 3: Further implementation of the new general education program and the assessment of the general education learning outcomes (Standard 12)

The Cal U General Education Committee (GEC) has been working diligently to implement the new general education program and an assessment of student learning outcomes process. Since the 2010 Middle States evaluation and the December 2013 Progress Report, the General Education program (Gen Ed) underwent a series of changes designed to better align its organizational structure and procedures with Middle States expectations, the Cal U mission, and PASSHE guidelines. The most critical changes were the comprehensive Gen Ed assessment program, which the GEC approved in 2012 and implemented in the 2013-2014 academic year.

Additional changes include:

- Reducing the General Education credits required from 49 semester credit hours to 40. The general education categories, menus, goals, assessment procedures, and course requirements were revised to comply with PASSHE Policy 1990-06-A: Academic Degrees, which states:

General education consists of a broad program of study in the liberal arts and sciences, such that at least 40 semester credit hours are focused on competencies consistent with the liberal education learning outcomes.

- Making the GEC a subcommittee of the University-Wide Curriculum Committee (UCC). UCC now approves courses to be added to the General Education Program before they go to the provost for final approval. UCC now also oversees other Gen Ed policies and procedures, such as the two-course Upper Division Writing Intensive Component requirement (as mentioned in the Cal U self-study recommendations for Standard 12).
- Creating a Gen Ed Desire2Learn (D2L) shell to allow department chairs and faculty access to Gen Ed forms, applications, timelines, policies, and correspondence. (D2L is the University's online learning management system.)

The General Education Program

The Gen Ed program is described in detail on the University website at http://www.Cal U.edu/academics/programs/general-education/. Briefly, the Gen Ed program is organized into 15 categories, called "menus." Each menu contains course options for fulfilling that menu requirement. Each menu has specific student learning outcomes. Many of the examples in Appendix D are for the Health and Wellness menu.

Students are required to pass a minimum of 40 Gen Ed credits as outlined in each academic department's advisement sheets. (See Appendix D1 for a sample advisement sheet). Advisement sheets are scrutinized during a rigorous approval process that begins in the department, proceeds to the appropriate College Council (Liberal Arts, Science and Technology, or Education and Human Services), and continues to the UCC. The final step is the Office of Academic Affairs.

The General Education Committee

Five members from each undergraduate college and a representative from the Office of Academic Affairs serve on the General Education Committee (GEC). Each member serves two years. There are five standing subcommittees: Menu, Transfer Students and Associate Degrees, Assessment of Student Learning, Program Review, and Website.

One of the recommendations from the Cal U self-study was that the chair of the committee receives a workload reduction for the administrative tasks of the committee. However, like similar university-wide committees, such as the Tenure Committee and the Promotion Committee, the work of the GEC is considered "service to the University community." Thus, the administration does not consider a workload reduction to be appropriate. For details about the governance of the GEC, including the role of each subcommittee, see the General Education Bylaws document in Appendix D2.

General Education Assessment of Student Learning Process

Step 1: Gen Ed course approval. The General Education assessment of student learning (ASL) process begins when a department requests that the GEC approve a course for a Gen Ed menu. Using the Gen Ed Course Application form (see Appendix D3 for the Health and Wellness menu example), the department provides a completed course proposal template (Appendix D4) for the course, indicates how course objectives meet Gen Ed menu goals, and provides an assessment plan. The appropriate GEC menu subcommittee reviews the course

application. Once the subcommittee has finished its review, the GEC approves or disapproves the application. If the application is approved, the committee forwards it to the University-Wide Curriculum Committee for approval. If approved by UCC, the application is forwarded to the Office of Academic Affairs for final approval.

Step 2: Assessment of student learning. As part of the application process, departments coordinate assessment activities and report to the GEC when a course will have assessment conducted. The department may schedule an entire menu goals assessment or individual assessments based upon department needs. At the beginning of each academic year, department chairs receive notice of their department's Gen Ed courses that are scheduled for assessment pooled from the application. As an example, Appendix D5 is the Health and Wellness menu assessment timeline. There are three possible methods for course assessment:

- Individual Course Assessment: Each department may analyze and aggregate data collected for a particular general education objective for that academic year (or for multiple years) for a particular course (i.e. CHE103). If at least two sections of a course are not offered and taught by two different faculty members, Option 3 below should be chosen.
- Multiple Course Assessment: A department may analyze and aggregate data collected for a particular general education objective for that academic year for all courses in that department that are under the same menu (i.e. HIS 101, HIS 104, HIS 110,…), as long as all courses are assessing the same objective that academic year.
- Multiple Departmental Assessment: Multiple departments that have courses under a particular menu may collaborate to develop a common assessment for courses in the menu as long as the same general education objective is assessed and everyone uses the same assessment. The data would be collected, analyzed, and aggregated by a committee representing the departments that have a course in the particular menu.

Regardless of the method, the Gen Ed Assessment of Student Learning Report form is used to document student learning for Gen Ed courses. As an example, Appendix D6 is the ASL report form for the Health and Wellness menu. Similar to Program Level assessment of student learning described in Section 5 of this report, faculty are required to report at least two measures for each objective:

- a direct or objective measurement demonstrating what students know or can do as a result of what they have learned, such as embedded items in an exam and rubric-scored paper assignments,
- a subjective measurement of student or employer perceptions of their learning, such as through a student survey.

Assessment reports are due in September (the deadline was extended to January for

2013-2014, the first year of implementation) of the next academic year; mid-year reports are encouraged but are not required. Submission of reports is conducted by uploading to the appropriate D2L dropbox for that menu). Departments that fail to submit an assessment report during the designated evaluation cycle may have their courses removed from the Gen Ed menu.

Step 3: Review of Assessment of Student Learning reports. Individual Gen Ed menu subcommittees review the ASL course reports, using an Assessment Rubric (See Appendix D7 for Health and Wellness menu rubric). The subcommittee menu leader compiles the rubric data and suggestions into an evaluation report. The subcommittee reviews the report and votes to accept or reject the ASL course assessment report. After the subcommittee's deliberations, the GEC chair provides assessment findings to the department. If the menu subcommittee does not approve the ASL report, the menu leader works with the GEC chair and department chairperson to strengthen the report to obtain approval. The menu leader completes the review process by adding comments and results to the annual Menu Goal Overall Assessment report for each menu goal. The GEC reviews the annual report and forwards it to UCC, which forwards the report to the Office of Academic Affairs.

Step 4: Use of results to enhance curriculum, teaching, and student learning: The General Education Committee recommends that departments discuss the assessment findings and make recommendations concerning how the results might be improved, including by curricular and change in assessment strategies. This is usually accomplished in department meetings and documented in department meeting minutes. In addition, the GEC will notify the Provost if GEC members deem there are deficiencies preventing departments from meeting particular Gen Ed menu goals.

Implementation schedule

Assessment reports for the 2013-2014 academic year were due in January 2015 and the GEC is reviewing the reports this term (Spring 2015). Appendix D8 charts those courses for which an assessment report was submitted. Most menu review committees are in the process of reviewing initial assessment reports. Since this process is being implemented for the first time, the GEC will continue to monitor the process to ensure procedures are meeting the needs of the University and the requirements of Middle States accreditation.

Gen Ed five-year program review

        Pennsylvania State System of Higher Education (PASSHE) Board of Governors (BOG) Policy 1986-04-A requires periodic program review of academic and academic/student support programs. According to the policy, these reviews aim to assure continuous improvement and must be integrated with strategic-planning and budgeting processes, with regional and specialized accreditation processes, and with student-learning outcomes assessment.

        The GEC recently conducted a five-year program review self-study (see Appendix D9). The GEC saw the self-study process as a means of re-shaping the program into a more effective tool that can contribute significantly to the education of our students as well as the needs of the University as a whole. The report provided a summary of action items accomplished since the 2009-2010 program review, as well as a summary of action items proposed for the program going forward. Future directions include supporting the development of a coordinator position, creating a dedicated budget to provide incentives for ASL plan reviews, and continuing to provide professional development opportunities to increase General Education awareness and improve advising. The Deans/Provost Council will review the report and make recommendations, including budgetary requests, to the President's Cabinet. The report will also be forwarded to PASSHE.

General Education documents

        The following documents are included in Appendix D.

General Education Appendices	
D.1.	Sample Advisement Sheet
D.2.	General Education Bylaws
D.3.	General Education Course Application Form
D.4.	Guidelines for New Course Proposals
D.5.	Assessment Timeline for Health and Wellness menu
D.6.	ASL Report Form for Health and Wellness menu
D.7.	Assessment Rubric for Health and Wellness menu
D.8.	Assessment reporting for 2013-2014
D.9.	General Education Program Review Self-Study

2.2 Response to the recommendations from the previous Middle States evaluation

        The 2010 decennial report from the Middle States evaluation team was very positive, affirming that Cal U "continues to meet the eligibility requirements in Characteristics of Excellence." The team was impressed with Cal U's "mission and the degree to which the

community has embraced it." The team "was particularly impressed with the faculty's dedication to maintaining a student-centered environment." The report commended Cal U for its student-centered learning environment and for high rates of student satisfaction, significant fundraising success, quality facility, landscape improvements, and its entrepreneurial approach to generating revenue.

In addition, the report indicated that Cal U met all 14 standards in Characteristics of Excellence. The Middle States accreditation team made recommendations for four of the standards. The University's response to the Middle States' recommendations follows.

A. <u>Recommendation 1</u>

Standard Two refers to the relationship between planning, resource allocation and assessment for institutional renewal. A goal is to improve and to maintain institutional quality. *The team recommends that the University develops and implements a more formal and rigorous system of assessment activities that can coordinate and link planning and resource allocation at all levels throughout the University.*

The University employs a formal assessment process that coordinates and links planning and allocation of resources. Section 6 of this report details this process. Highlights of the process include: 1) an alignment of the assessment process with the University strategic plan, with assessment of institutional effectiveness, with budgeting activities and with the PASSHE strategic plan; and 2) resource allocations that are based on such factors as the University strategic plan and the previous year's spending.

B. <u>Recommendation 2</u>

Standard Four calls for accredited institutions "…to possess or demonstrate…a well-defined system of collegial governance, including written policies outlining governance responsibilities of administration and faculty…" (p.15, Characteristics of Excellence in Higher Education). Though the University has created such a system, from the faculty's and staff's perspective, the plan prevents dialogue on many important issues facing the University. Therefore: *The team recommends the shared governance model (University Forum) should be revised such that faculty, staff, and students feel that their input is welcomed and valued in decision-making practices of the institution.*

The University is currently revising the shared governance structure. Commission Action 1 describes in detail the proposed shared governance model and the process that the University undertook to develop it.

C. <u>Recommendation 3</u>

Standard 14 emphasizes the assessment of student learning. The Middle States Commission on Higher Education considers the assessment of <u>both</u> institutional effectiveness and student learning outcomes central to the 14 standards. Additionally the University's Strategic Plan Goal Four states, "To continue to incorporate continuous improvement into all programs and activities, University–wide, to ensure competitive excellence." Therefore: *The team recommends that the assessment of student learning, in educational offerings and general education, should be included in the University and Division of Academic Affairs strategic plan, with specific goals and objectives regarding the implementation of assessment efforts.*

Cal U recognizes the importance of assessment of student learning in all educational offerings, including General Education, and the University has incorporated assessment of student learning in both the 2009-2012 University and Academic Affairs strategic plans.

As described in [Response to Commission Action 2](#), the new strategic plan is currently under development. A draft of the mission, vision, and goal statements has been completed; the next step is for a small subgroup of the Strategic Planning committee to draft the objectives and measures for the goals. The University-wide Assessment of Student Learning Outcomes (ASLO) committee has made recommendations to the Strategic Planning Committee regarding items related to student learning assessment that can be included in the new strategic plan (see Appendix E). The recommendations illustrate how ASLO can be a key indicator for the measurement of some of the goals. For example, the ASLO committee recommends that objectives incorporate indicators such as increased enrollment in internships, participant surveys, and year-end ASLO reports.

D. <u>Recommendation 4</u>

Standard 14 states, "Organized, systemized, and sustained assessment processes are on-going, not once-and-done. There should be clear interrelationships among institutional goals, program- and unit-level goals, and course-level goals. Assessments should clearly relate to important goals, and improvements should clearly stem from assessment results." The self-study report recommends that release time be given to a faculty member who might therefore have enough time to collect and aggregate information in order to facilitate student learning assessment in general education. However: *The team feels that a full-time assessment professional, with experience in student learning assessment, should be hired to oversee and coordinate the student learning assessment process. This person should have a direct line to the provost or president, and should be charged with interacting with faculty leadership, to ensure that the student learning process is legitimate, meaningful, and useful.*

As described in Section 5, the newly created position of Associate Provost for Institutional Assessment and Accreditation will be filled in Fall 2015 through a national search. See Appendix F for a job description. Currently, student learning assessment activities are the responsibility of Associate Provost Caryl Sheffield and Associate Provost Dan Engstrom. Dr. Sheffield serves on the University-wide program-level Assessment of Student Learning Outcomes (ASLO) committee and coordinates the ASLO process. Dr. Engstrom serves on the GEC and coordinates the General Education Assessment of Student Learning Outcomes process; he also manages the Voluntary System of Accountability (VSA) assessments.

E. Recommendation 5

General Education Student Learning Assessment is only in its beginning stages at Cal U, because of a number of constraints, ranging from a lack of institutional resources (e.g., release time) to a lack of department participation. Although a plan appears to be in place, little or no progress had been made by the time of the last Middle States' assessment of the University, despite Middle States' notice to the institution that it must work toward compliance with the elements germane to Standard 12. In Standard 12 (General Education) there is an expectation that institutions demonstrate "…assessment of general education outcomes within the institution's overall plan for assessing student learning and evidence that such assessment results are utilized for curricular improvement" (p.48, Characteristics of Excellence in Higher Education). Therefore: *the team recommends the institution implement a system of general education assessment that features specific student learning outcomes for all elements of its general education program of study, the assessment of student learning (including direct assessments, or evaluations of actual student work), discussion of findings by faculty, and the use of such information in enhancing curriculum, teaching, and student learning.*

Since the 2010 evaluation, Cal U has committed a great deal of time and effort to developing a comprehensive system of General Education Student Learning Assessment. The assessment process includes:

- General Education menu categories with specific learning objectives for each category,
- Strategies for faculty who teach General Education classes to assess student learning,
- Opportunities for faculty to discuss the assessment results and to make appropriate curricular revisions, and
- Procedures for the GEC to collate course assessment data into a comprehensive assessment of the General Education program.

The General Education assessment system was documented in the December 2013 Progress Report; further progress is detailed in the Response to Commission Action 3.

2.3. Response to 2010 self-study recommendations

This section describes and documents responses to Cal U self-study recommendations, organized by 4 themes: **campus environment, student development and career preparation, faculty, and campus processes**. Appendix A indexes the recommendations from the 2010 Cal U Self-Study by these themes.

A. Campus Environment

The 2010 Cal U self-study recommended that the campus environment be enriched by and reflect its core values of integrity, civility and responsibility.

Safety. In 2010, Cal U instituted several safety measures, including a text messaging alert system, and a Threat Response Intervention Team (TRAIT). The Student Code of Conduct was revised in 2014 and is available from several locations on the Cal U website (e.g., the Student Services' and the University Police Department's web pages). The End Violence (End V) Center, which works to reduce sexual assault and to provide 24/7 call-in counseling to assault victims, is a continuation of the former grant-funded PEACE Project. The End V Center is now a line item in the university budget.

Integrity. In addition to safety, Cal U values integrity and has instituted an Academic Integrity Committee, as well as undergraduate and graduate Academic Integrity policies (see Appendix G). Department mission statements emphasize the value of academic integrity. For example, the Mission Statement of the master's program in Exercise Science and Health Promotion states:

Student manuals (examples include those of the Social Work and the Global Online programs) contain statements about academic integrity. An example at the course level is the syllabus for UNI 100, Introduction to University Studies, which requires that students pursue leadership opportunities in Student Government, University Forum and the Student Association. All freshmen and all transfer students who have earned fewer than 24 credits are required to take UNI 100. All student organizations, such as clubs and Greek societies, are required to abide by the same regulations as individual students. Instituting a standard statement of integrity for all course syllabi is currently under discussion at the UCC.

Leadership. Opportunities for students to develop leadership and civility include the *Linda and Harry Serene Leadership Institute*, the *American Democracy Project* and the *Leadership Living Community at Vulcan Village*. The *Linda and Harry Serene Leadership Institute* sponsored a conference on environmental responsibility and civic engagement in 2011. The *American Democracy Project* organizes and presents three to five events each year and sponsors an annual voter registration drive. Students in the *Leadership Living* community volunteer 50 hours of community service, approved through the Office for Civic Engagement. Students in this program also participate in role-modeling activities, develop student leadership skills and learn successful motivational strategies.

In its 2010 Middle States Self-Study, the university recommended that growing programs such as The Women's Studies program, be provided more staff support. While not being in a financial position to fulfill this recommendation, the administration has placed Women's Studies in the Department of History and Political Science so that it can take advantage of the resources of a thriving and stable department.

Student Center. Students voted in 2011 to expand the Natali Student Center by 30,000 square feet and to finance the additions through student fees. The expanded space will offer more space for student organizations, enhanced dining facilities and more public space for students to study and relax with each other. The expansion is expected to be completed later this year (2015). Among the groups and organizations to be housed in the refurbished student union are the Women's Center, Center for Volunteer Programs and Service Learning (formerly Civic Engagement), and the Career and the Professional Development Center (formerly Career

Services). More conference rooms will be available. New entrances will provide access from all parts of campus.

B. Student Development and Career Preparation

The 2010 Cal U self-study made recommendations regarding the enhancement of student preparation programs by incorporating Cal U's mission of Building Character and Careers.

The Career and Professional Development Center (CPDC) offers workshops on professionalism, including an annual Mock Networking Reception and Etiquette Dinner. Additionally, the CPDC coordinates the Career Advantage program. In the 2013-2014 academic year, more than 11,000 students and alumni participated in CPDC services, such as résumé reviews, career fairs, HIRE CALYOU, career advisors for each college, career planning, job search assistance, online practice interviews, workshops and webinars on various topics, and career assessments. In response to the self-study recommendation for assessment of the impact of CPDC services, an annual First Destination Survey gathers data regarding the initial career success of graduates. The most recent results indicate that approximately 85% of graduates are employed (full or part time), and approximately 14% are continuing their education. Of those who are employed, 76% are working in jobs related to their field of study. In addition, an annual alumni survey conducted by PASSHE provides an analysis of student satisfaction.

The CPDC's annual plan includes employer development (organizations that would benefit the University to develop a relationship with). The Employer Development Coordinator increased job postings by 29% (from 8,677 to 11,216), résumé/referral by 1,948% (from 132 to 2,703) and campus student interviews by 88% (from 132 to 1,141), during 2010-2013.

The CPDC partners with the offices of Graduate Admissions and Global Online (GO) (formerly the Office of Web-Based Programs) so that graduate students are aware of the career services available to them. For example, there is a link to CPDC services on the GO web page, and GO and CPDC staff participate in GO and graduate school open house programs.

Student support services. In response to the self-study recommendations for support services, the Office of Academic Success has expanded its hours and services to help students. It added a fifth Student Success Facilitator to help advise transfer students and freshmen without majors who need class schedules and other assistance. Facilitators conduct campus workshops on academic success strategies and present in First Year Seminar (so that freshmen get to know

them). Facilitators also work with faculty to assist them when they have program, general education and course sequencing questions, among other issues.

The Office of Academic Success instituted a Learning Communities student cohort program to increase the sense of belonging and community among first-year students. Students within a major are registered for two to three courses together. For example, psychology majors will be enrolled in PSY100 General Psychology, ENG101 English Composition, and PHI100 Introduction to Philosophy, during fall of the their freshman year. This same cohort will be registered for two more classes together in the spring of their first year.

In Fall 2011, Cal U invested in *DegreeWorks,* an online program that allows students and advisors to see what courses the student needs to meet program requirements. Almost 20 training sessions have been offered to staff and faculty on how to use *DegreeWorks*. In the required First Year Seminar course for all freshmen (UNI100), students learn how to use *DegreeWorks* during one class session.

Tutoring and mentoring services are free, and services are available by appointment or by walking in. The University offers a mentoring service, where upperclassmen are paired with new freshmen. Providing mentors to new freshman continues to be a priority. The chart below illustrates this commitment.

Mentoring Program	Fall 2010	Fall 2011	Fall 2012	Fall 2013
Number of trained volunteer peer mentors	753	722	765	845
Number of 1st time, full-time, 4-yer degree seeking freshmen who participated in the Mentoring Program	525	479	435	688
1st year to 2nd year retention rate of mentored 1st time, full-time, 4-year degree seeking students	77.1%	81.2%	83.9%	81.9%

The Cal U Self-Study of 2010 recommended that the Office of International Programming receive a clear line of funding. Today, the Office of International Programming reports to Academic Affairs. Academic Affairs also supports the Multicultural Center. The International Club is housed in the Multicultural Center and receives funding through the Student Association Inc.

In 2014-2015, the Women's Center funding doubled. The Women's Center and the End Violence program will have 1,664 square feet of space in the renovated Natali Student Center. The administration remains committed to providing the Lambda Bridges and LGBTQA Program

office space in the Multicultural Center and a permanent staff member. The *Safe Zone* program trains faculty and staff about LGBTQA issues.

As the 2010 self-study recommended enriching learning opportunities for the nontraditional learner and learning in non-traditional venues, the Office of Continuing Education continues to offer a program where non-degree-seeking students can take Cal U classes, people age 60 and over can enroll in the College Advantage Program and take tuition-free classes, and high school students can be admitted early to the University and earn college credit.

Other initiatives and new programs. Since 2010, Cal U has launched or redirected initiatives in many areas that foster student development and career preparation. They include:

- The sponsorship of over 100 clubs and organizations on campus, all of which require a community service component.
- The investment of $7 million on technology, infrastructure updates and SMART classrooms.
- The recommendation that programs align themselves with the University's mission statement. As a result, the majority of programs have mission statements that reflect the University's mission of "building character and careers."

C. <u>Faculty</u>

In the 2010 Cal U self-study, recommendations were made regarding the recruitment of women and minorities, enhancing faculty salaries and encouraging faculty to develop new programs and revise curricula to meet marketplace needs.

Faculty Recruitment. The University has committed considerable resources to increasing its success in recruiting women and minority faculty members with terminal degrees. The Office of Social Equity, which "creates, maintains, and updates the University's Affirmative Action Plan" and assists with faculty searches, is led by a Special Assistant to the President for Equal Employment and Educational Opportunity (EEEO).

In 2013, the University established the Faculty Search Diversity Leader Initiative, consisting of faculty members (currently, 37) "willing to serve as diversity advocates on faculty search committees." Serving as EEO representatives, these faculty members are trained in diversity issues related to conducting equitable faculty searches.

The Frederick Douglass Institute (FDI) continues to play a significant role in efforts to recruit emerging minority scholars through its Visiting Scholars Program. From 2010 to 2015,

there has been an FDI scholar on campus each year. Two of them were female, and all were from underrepresented minority groups.

The University focuses on diversity in faculty recruitment in the *Guide to Faculty Searches*, last revised Aug. 27, 2014. The *Guide* strongly emphasizes social equity in faculty hiring and clearly advocates for the recruitment of "well-qualified and diverse applicants and applicant pool" and provides strong guidelines for "recruiting highly qualified women and persons of color" (Barnhart, Burnett, & Kallis 2014, p. 33)

The chart below indicates that with the above initiatives, Cal U has made gains in the hiring of female faculty and has maintained the numbers of minority faculty in the years since the 2010 evaluation.

Full-Time Tenure-Track Faculty							
	Male	Female	African American	American Native	Asian	Hispanic	White	Total
2010	143 (52.77%)	128 (47.23%)	19 (7.01%)	1 (0.37%)	11 (4.06%)	2 (0.74%)	238 (87.82%)	271
2011	135 (52.12%)	124 (47.88%)	19 (7.34%)	1 (0.39%)	11 (4.25%)	1 (0.39%)	227 (87.64%)	259
2012	129 (51.81%)	120 (48.19%)	19 (7.63%)	2 (0.80%)	9 (3.62%)	1 (0.40%)	218 (87.55%)	249
2013	133 (52.36%)	121 (47.64%)	18 (7.08%)	2 (0.78%)	9 (3.54%)	1 (0.39%)	224 (88.18%)	254
2014	127 (51.21%)	121 (48.79%)	18 (7.26%)	2 (0.81%)	10 (4.03%)	1 (0.40%)	217 (87.50%)	248

Faculty Salaries. System-wide faculty salaries are regulated by the collective bargaining agreement between the Association of Pennsylvania State College and University Faculty (APSCUF) and the Pennsylvania State System of Higher Education (PASSHE). Negotiated faculty salaries have increased annually about 1.5% on average between 2010 and 2015.

Cal U faculty salaries have historically been competitive when compared to national data, as the chart on the right indicates.

Comparison of average tenured/tenure track faculty salaries, 2013-2014		
	*National average	**Cal U average
Full	$97,784	$105,507
Associate	$76,193	$ 86,103
Assistant	$66,177	$ 71,478
*https://www.higheredjobs.com/salary/salaryDisplay.cfm?SurveyID=28 ** http://data.chronicle.com/category/state/Pennsylvania/faculty-salaries/		

Instructional Support. The Teaching and Learning Center (TLC) was established in summer 2011 to provide hands-on training in technology and help in incorporating instructional design principles and technology in existing and new courses and programs. TLC staff provide instruction ranging from how to develop a flipped classroom to how to use videos in online instruction.

In 2013, the University contracted with Hanover Research to complete a market research study. The resultant report, *Market Analysis: New Programming Opportunities* examined "labor market trends in Pennsylvania and identified high-growth occupations, indicating potential viable areas of opportunity for Cal U program development and/or expansion." Faculty received a copy of the report and were encouraged to develop new programs based on this information. The Provost's Council, college councils, and departments discussed the report. Since then, faculty members have developed several new programs in response to the marketplace needs the report identified. Some of the new programs can be completed entirely online. The programs include: a Bachelor of Arts degree in Jurisprudence with a concentration in Land Management, and a certificate in Land Management; a Professional Science Master's degree (P.S.M.) in Cyber Security, a P.S.M. degree in Applied Mathematics, and a Master of Arts degree in Social Science: Conflict Resolution.

Faculty Training/Mentoring. Cal U offers a yearlong New Faculty Orientation program for first-year faculty that includes scheduled presentations and an assigned faculty mentor. The Faculty Professional Development Center (FPDC) provides a two-day orientation program prior to the first day of classes. The Office of Academic Affairs offers additional presentations throughout a faculty member's first academic year. Additionally, in collaboration with the FPDC, members of the University-Wide Tenure Committee and the University-Wide Promotion Committee provide workshops on promotion and tenure for faculty members.

Faculty accomplishments. *The Faculty Handbook* was updated in 2012 and is posted on the Academic Affairs web page. Information about faculty professional memberships and accomplishments in teaching, research and service is published in programs' annual and five-year review reports, quarterly "Good News" reports to the COT, the *Cal U Review*, Academic Affairs Newsletter (Appendix H), and *The California University Journal*.

D. <u>Campus Processes</u>

Many of the recommendations made in the 2010 Cal U self-study were about improving the various communication methods in use on campus and communication relationships between constituencies. Also included in this theme are other procedures (e.g., the course registration process students use to create a schedule) that were recommended for overhaul or improvement.

Technology. Online systems handle the application processes for undergraduate and graduate school admissions, as well as faculty searches, changes to the published class schedules, hiring forms, and purchase requisitions. There are no paper procedures for these processes. Departments and offices access their budgets and finances via the online *Business Intelligence* (BI) program. Business Intelligence interfaces to *Systems, Applications, Products* (SAP, the purchase requisition program).

The former vice president of information technology reorganized his division and also worked directly with the president and the President's Cabinet to meet the technology needs of the University before he resigned in June 2014. An associate vice president for information technology was hired in Spring 2015 and is the lead person of information technology. He and his staff report to the vice president for administration and finance.

In Fall 2011, the director of the Office of Students with Disabilities (OSD) prepared a report, *Disability Access for On-Line Coursework Components: A Consideration for Action,* (Appendix I) which was shared with the provost's office. During Fall 2013, a meeting was held to review issues with disability access for online programs. Meeting participants represented the Office of Students with Disabilities, Student Affairs, the Office of Social Equity, Academic Affairs (provost) and University Technology Services. At the beginning of Spring 2014, the director of OSD provided disability access consultation related to online programs with the Cal U Teaching & Learning Center.

Task/force Initiatives. All recommendations from the Cal U Middle States 2010 Self-Study that pertain to the University Forum are no longer applicable because, as noted above, the COT dissolved the Forum in June 2013. A new shared governance model is being developed by the Shared Governance Task Force and is discussed in detail in [Commission Action 1](). However, Faculty Senate is still active. One of its current tasks is to devise a method for evaluating managers. The Senate also is reviewing the presidential evaluation and selection process. Section

3 of this report, "Opportunities and Challenges," addresses this issue in more detail – specifically, the implementation of national searches for administrative leadership positions.

An admissions committee (composed of students, admissions and articulation and transfer personnel, an associate provost, marketing personnel and a faculty member from each of the three colleges, with the dean of admissions serving as the chair) was developed in September 2014 to address the dropping enrollment of traditional college-age students and to strategize how to create opportunities to recruit nontraditional students. A few of the outcomes of the committee include initiating a retargeting campaign for transfer students and recruitment initiatives that target both traditional and nontraditional students.

Staff training. Staff training in SAP was augmented by the addition of *Business Intelligence* (BI), and staff and faculty are trained in both. Workshops are offered most terms. Those attending a workshop receive a revised and comprehensive manual, which includes information on both of these reporting systems.

Campus Communication. At one time, Cal U used the Campus-Wide Intranet System (CWIS) for all forms of communication, but more recently (2012), all university members receive a daily announcement e-mail, with links to information about academic events, club and committee meetings and administrative initiatives (e.g., grants and travel funding). CWIS is still used when documents of a more permanent nature (e.g., the 2013 NSSE results) require campus community access. They are secure in that system because CWIS requires an appropriate login ID and password to access the material.

SECTION 3: NARRATIVE IDENTIFYING MAJOR CHALLENGES AND/OR OPPORTUNITIES

There have been widespread changes at Cal U since the 2010 Self-Study and Middle States evaluation team visit. Some of these changes echo the state of higher education in Pennsylvania as well as throughout the country. The number of high school graduates in our region has dropped, which has affected our enrollment. According to Table 9 in Section 4 of this report, there has been a 26% decline in new freshmen enrollment from 2010 to 2014 and a 9 percent drop in new transfer enrollments. This drop in enrollment coincided with a cut in state funding. Temporary federal Stimulus Funds ended in 2010-2011, and then in 2011-2012, funding to the Pennsylvania State System of Higher Education (PASSHE) was cut by 18%. State funding has remained relatively flat since then, although required expenses, such as employee health care and university utility costs, have continued to rise. See Section 4 of this report for more details. During this five-year period, the University also has experienced significant changes in leadership.

However, given Cal U's 150-plus year history, the University has proven to be resilient; out of these challenges come opportunities to continue to provide a high-quality/high-value education for our students. Eighty-four percent of our programs that are eligible for accreditation are accredited (see Appendix J). Physical improvements to our campus continue. For example, the 6,000-seat Convocation Center opened in December 2011 and as mentioned in Section 2, a 30,000-square-foot renovation of our student center is underway. The Office of Admissions, the Welcome Center and Office of Student Orientation Programs, and the Office of Academic Success have launched aggressive recruitment/retention programs to attract and keep students. Admissions staff still attend traditional recruitment fairs, but they also take advantage of social media. The Student Orientation Programs bring prospective students to campus several times each semester. Professors from most departments meet these potential students and their families then and provide detailed information about what it's like to attend and study at Cal U. The Office of Academic Success has created a "Needs List" during registration to provide a fairer way for students to register for in-demand classes. Through a cohort program, students are encouraged to take classes with peers in their major so they have a built-in support network. Through these programs and others, Cal U works to attract and retain students.

The University has received PASSHE approval to offer several new market-driven programs, including an online Professional Science Master's degree program in Cybersecurity and a Professional Science Master's degree program in Applied Mathematics. A proposal for a doctorate program in Health Science and Exercise Leadership passed the University-Wide Curriculum Committee (UCC) on April 6, 2015, and now awaits administration and then PASSHE approval. We continue to hire new tenure-track faculty, especially in programs with growing enrollments.

New leadership is supportive of a more open communication style with input from all stakeholders; policies such as the strategic plan and shared governance are being developed in a more transparent and inclusive atmosphere. As mentioned in Section 2, the process for updating Cal U's strategic plan and for developing a workable Shared Governance Plan has been and is open to input from people from all areas of campus life. Additionally, Interim President Jones attends student convocations each semester during which she engages in a question-and-answer period. She has also attended several Faculty Senate meetings which similarly employs a question-and-answer format.

The University conducted focus groups with faculty, clerical/maintenance staff, middle managers, and students to identify the major challenges and opportunities facing Cal U. Interestingly, the concerns these groups pinpointed were similar.

It is within this context that the following challenges and opportunities are identified. Maintaining a balanced budget is perhaps the most serious challenge Cal U faces at this time. Taking advantage of the wisdom and expertise of our wealth of employees is an opportunity. Finally, the many personnel changes among upper management during the past five years are both a challenge and an opportunity.

3.1 Challenge: Maintaining a balanced budget

Standard 3: Institutional Resources

Like many public universities, Cal U is experiencing budgetary challenges. As mentioned above, PASSHE universities have faced funding cuts from the Commonwealth of Pennsylvania over the last five years, which have created a number of challenges. In 2010, the state legislature and governor cut the PASSHE budget by 18%, causing the level of state funding to drop to that of 1997. (https://www.insidehighered.com/news/2013/12/02/pennsylvanias-14-university-

system-feeling-pain-budget-cuts-and-demographic-shifts). In some instances, the steep decrease in state funding came faster than the universities were legally able to untangle themselves from mandated programs and costs. (http://www.calu.edu/alumni/files/2013%20PASSHE%20budget%20info.pdf)

While the budgeting process is complex, the causes of our current financial condition have roots in many places. The University has little control over such factors as the declining number of high school graduates, the dwindling level of state appropriations, and collective bargaining agreements. Additionally, our former president committed us to pay off the debt for major construction projects, such as the Convocation Center in 2011 and a new parking garage in 2010. These projects continue to impact the University budget.

Relatedly, there has been a lack of transparency regarding some budget processes and an overall lack of knowledge and understanding of budget details. Budget cuts have resulted in larger class sizes, increased pressure and responsibility on fewer staff and faculty, larger amounts of paperwork, reduced funding for student clubs and organizations, and smaller academic department operating budgets.

However, in spite of these challenges, and as a direct result of strategies designed to lower costs and increase revenue, Cal U has been able to produce a balanced budget over the past few years. A few of these strategies are detailed below.

- The President's Cabinet closely examined discretionary funding with an eye on those programs that didn't meet our core mission of the academic education of our students. For example, Cal U's association with the Franklin Covey Company as a Franklin Covey Leadership University was terminated, as was our affiliation with the Smithsonian Institute Traveling Exhibition Services.
- In the academic area, expenses such as faculty payments for teaching course overloads were reduced by contracting with less expensive but equally qualified part-time faculty.
- Discretionary travel expenditures were prioritized; some domestic and international travel was eliminated.

While these programs and services certainly added value to the University community, the cuts were necessary to help balance the budget. Over the past academic year, workforce reductions have also contributed to balancing the budget.

3.2 Opportunity: taking advantage of existing campus resources to solve our problems

Standard 3: Institutional Resources
Standard 4: Leadership and Governance

As mentioned above, Cal U organized focus groups to identify challenges and opportunities facing the University. The focus group members reinforced the notion that faculty, staff, and students are concerned about the future of Cal U. Each group expressed gratitude for the opportunity to provide input and was excited that the voices of group members would be heard. The group members were proud of the physical improvements to the campus, as well as the high-quality academic programs for students.

In addition to discussing challenges and opportunities, the groups offered concrete suggestions. One such suggestion was to continue using focus groups that might grow into task forces comprised of faculty, staff, and students. This creates (1) an opportunity for all stakeholders to have input in addressing ongoing concerns, procedures, and policies; and (2) a structure for maximizing internal resources, both human and material. Staff and faculty felt the University could take advantage of the employees' professional opinions and expertise in decisions made across campus that involve their respective fields in order to save time, money, and effort.

3.3 Challenge and opportunity: Changes in leadership

Standard 3: Institutional resources
Standard 5: Administration
Standard 7: Institutional assessment

Challenge. The unexpected removal of former President Angelo Armenti, Jr. on May 16, 2012, caused a sudden major upheaval in senior leadership. Over 75% of the upper administration of the University has changed since that day. As indicated in the bold text below, many of these positions have been permanently filled either through national searches or conversions.

- Provost Geraldine M. Jones accepted the position of Acting President and was converted to Interim President of Cal U as of March 20, 2013. The search for a permanent president has been delayed because, as per Board of Governors (BOG) policy, two other PASSHE university presidents were in the process of being hired. Now that the other presidential searches have been completed, the chancellor has notified the president of the Cal U COT that the search for the Cal U president can commence.
- Associate Provost Dr. Bruce D. Barnhart accepted the position of Acting Provost/Vice President for Academic Affairs on August 27, 2012.
- Dr. Stanley A. Komacek, Associate Provost, accepted the position of **Dean of the School of Graduate Studies and Research/Associate Provost** on August 27, 2012.
- Dr. Stephen J. Whitehead accepted the position of Interim Associate Provost/Associate Vice President on August 27, 2012. His position was made permanent in December 2013; he is now the **Associate Provost of Innovation/Associate Vice President of Academic Affairs**.

- Dr. Caryl Sheffield accepted the position of Interim **Associate Provost/Associate Vice President** as of August 27, 2012. Her position was made permanent in December 2013.
- Dr. Harry Langley, Associate Provost of Student Retention and Success, is no longer with the University as of June 15, 2012. Dr. Daniel E. Engstrom accepted the position of Associate Provost/Associate Vice President of Academic Success on June 20, 2012.
- Dr. Leonard Colelli, Dean of Science and Technology, is no longer with the University as of June 30, 2012. Dr. John R. Kallis accepted the position of Interim **Dean of the Eberly College of Science and Technolog**y on July 2, 2012. His position was made permanent in May 2014.
- Dr. Michael L. Hummel is no longer the Dean of the College of Liberal Arts. He returned to the faculty. Dr. Mohamed Yamba accepted the position of Dean of the College of Liberal Arts on January 28, 2013.
- Dr. Lenora Angelone, Vice President of Student Affairs, retired on July 28, 2012. Associate Vice President and Executive Director of the Student Association, Incorporated (SAI) Dr. Nancy Pinardi accepted the position of Interim Vice President for Student Affairs on July 30, 2012.
- Sharon Navoney no longer is the Vice President of University Development as of Feb. 28, 2013. Jessica Urbanik became the Interim Vice President for Development and Cal U for Life effective Feb. 15, 2013, until she resigned on June 3, 2013. Craig Butzine, **Vice President for Marketing and University Relations**, took over this area on June 4, 2013.
- Norman Hasbrouck, Special Assistant to the President and Director of Continuous Improvement, retired on Feb. 8, 2013.
- Dr. Lisa McBride is no longer the Special Assistant to the President for EEEO/University Ombudsperson as of April 12, 2013. Mrs. Dee Stalvey was named the Interim Special Assistant to the President for EEEO/University Ombudsperson on May 15, 2013. After a national search, Dr. John Burnett was hired effective Aug. 26, 2013, as the **Special Assistant to the President for EEEO**.
- Richard Kline, Director of Institutional Research, retired on Jan. 25, 2013. After a national search, Dr. Wei Zhou accepted the position of **Director of Institutional Research and Planning Manager** as of April 1, 2013.
- Ms. Elizabeth Bennellick was hired on Aug. 1, 2013, as the **Director of International Programming**. This is a new position and the result of a national search.
- Dr. Charles Mance, Vice President of University Technology Services, is no longer with the University. As a result of a national search, Brian Kraus joined the University in January 2015 as the **Associate Vice President of University Technology Services**.

Drastic changes such as these often have serious ramifications. Having interim administrators in key roles may cause disruptions throughout the University and inhibit effective decision-making. Adjusting to a different management style could become a communication barrier. Employees may fear administrative reorganizations and job security.

Opportunities. While many may view these concerns as major challenges, we recognize the opportunities that have emerged. Interim President Geraldine Jones has a totally different management style from Cal U's previous president that encourages input and transparency. This

is apparent in her leadership over the important tasks of developing a new strategic plan and a shared governance process. Both of these initiatives are being conducted by task forces with broad representation from the University community, as described separately in this report.

Under Interim President Jones' leadership, the University has managed to maintain fiscal stability while reducing the amount of debt that has accumulated from the previous administration's overspending. Although reducing the debt has resulted in serious budget cuts, the University has used this opportunity to become more efficient and to apply creative problem-solving skills. For example, departments in Student Affairs are pooling such resources as copy machines, paper and toner in an effort to reduce costs. The change in leadership has also brought changes in procedures that benefit students, staff, faculty, and administration. Student registration is a good example. An automated system that identifies courses that are near capacity, funnels students into those courses, and facilitates collaboration between administration and department chairs during the registration process has been implemented to great success. This process will eventually eliminate the need for cumbersome paper/pencil needs lists and make the process more efficient for everyone.

As Cal U continues to stabilize upper-level management by conducting national searches for open positions and converting interim positions to permanent ones, we have also found opportunities to realign some functions and eliminate others. The newly created position of Associate Provost for Institutional Assessment and Accreditation is an example (Appendix F). By giving one administrator the responsibility for overseeing assessment and accreditation activities, the University is emphasizing the importance of these activities and finding a way to handle these functions more efficiently. The position should be filled in Fall 2015 after a national search.

SECTION 4: FINANCE AND ENROLLMENT TRENDS AND PROJECTIONS

4.1 Historical financial trends

For decades, public higher education in Pennsylvania has experienced a slow but steady decline in funding support. Over the past three decades, state appropriations, as a percent of Educational and General (E&G) revenue, have declined from 63% in 1983-1984 to approximately 27% in 2013-2014; a drop of nearly 36% over that period. Such university activities as instruction, research and public service are supported by E&G funds. However, as state funding was dropping, Cal U was experiencing unparalleled enrollment growth, with the number of students climbing from 5,636 in 1996 to nearly 9,400 students by 2010. At the same time, the University started making substantial capital improvements as it followed the University Master Plan for campus construction and refurbishing. The University spent nearly $250 million on building construction or renovation and on improvements to the campus infrastructure.

Cal U's enrollment growth through 2010 provided tuition and fee revenue to offset the steady drain of state dollars from the E&G budget. To help offset the erosion of state support, the Pennsylvania State System of Higher Education (PASSHE) called upon American Recovery and Reinvestment Act Federal Stimulus Funds in 2008-2009. Unfortunately, these temporary funds ended in 2010-2011. Then, in Fall 2011, Cal U's steady enrollment climb ended. That year, for the first time in 14 years, enrollment fell. At the same time, the Pennsylvania legislature cut appropriations to the PASSHE system by 18%. Thus, in 2011-2012, the University received about $6 million less in state and federal funds than the previous year because of the state funding cut and the loss of federal stimulus funds.

Since then, state funding support has remained relatively flat, but rising mandatory expenditures, such as, health care, retirement, utilities, collective bargaining agreements, and declining enrollments have put additional strain on the University's E&G operating budget. At Cal U, the primary sources of unrestricted revenue are state appropriations and tuition and fees. As Table 1 reveals, state appropriations (which included federal stimulus funds) declined from $38.6 million in 2009-2010 to just under $30 million in 2013-2014, a decline of nearly 23% or $8.9 million.

Table 1: Trends in E&G Appropriations (All Sources)					
Funding Source	2009-2010	2010-2011	2011-2012	2012-13	2013-2014
State Appropriations	$ 29,022,845	$ 29,650,730	$ 26,892,201	$ 27,582,317	$ 27,106,754
Federal Appropriations	$ 4,735,048	$ 2,837,008	$ -	$ -	$ -
Performance Funding	$ 4,867,978	$ 3,694,068	$ 2,290,012	$ 2,895,817	$ 2,644,556
Total	$ 38,625,871	$ 36,181,806	$ 29,182,213	$ 30,478,134	$ 29,751,310

State appropriations (excluding federal Stimulus Funds) dropped from 30% of the University's E&G budget to 27%, while tuition and fees increased from 60% to nearly 70% (Table 2). This data demonstrates the growing reliance on tuition and fee revenue to support the operational budget of the University.

Table 2: Distribution of State Appropriations, Tuition, Fees and Other Revenue									
Fiscal Year	Appropriations		ARRA		Tuition & Fees		Other		Total
2009-2010	$33,890,823	30%	$4,735,048	4%	$67,779,332	60%	$5,828,895	5%	$112,234,098
2010-2011	$33,344,798	28%	$2,837,008	2%	$74,178,417	63%	$7,862,902	7%	$118,223,125
2011-2012	$29,182,213	25%	$0	0%	$81,357,654	71%	$4,857,410	4%	$115,397,277
2012-13	$30,478,134	27%	$0	0%	$77,622,413	69%	$5,097,279	5%	$113,197,826
2013-2014	$29,751,310	27%	$0	0%	$76,986,751	69%	$5,313,983	5%	$112,052,044

The PASSHE Board of Governors (BOG) has tried to keep tuition increases at or below the Consumer Price Index (CPI). Table 3 shows the percentage increase in tuition rates from 2009-2010 to 2013-2014 and the enrollment increase or decrease at Cal U during the same period of time. The relatively moderate tuition increases helped Cal U and other PASSHE schools fill the gap left by reduced state funding and declining enrollment. Cal U, it should be noted, does not set undergraduate tuition rates. That is the BOG's job.

Table 3: Trends in Undergraduate Resident Tuition Rates and Total California University Enrollment				
Fiscal Year	Annual Tuition	Percentage Increase	Total Enrollment	Percentage Change
2009-2010	$5,554	3.7%	6419	-------
2010-2011	$5,804	4.5%	7241	12.8%
2011-2012	$6,204	6.9%	7260	0.3%
2012-13	$6,428	3.6%	6573	-9.5%
2013-2014	$6,622	3.0%	6360	-3.2%

Nevertheless, despite federal Stimulus Funding, enrollment growth, tuition rate and fee increases and efforts to monitor and prune expenses, the University faced a deficit of $1.7

million in E&G operating expenses in 2009-2010, of $1.5 million in 2010-2011, and of $1.1 million in 2011-2012. (See Table 4). During the 2009-2010 and 2010-2011 fiscal years, the administration made modest cuts in spending and attempted to get expenses and revenue to better align, but these efforts were not enough to eliminate the deficit. It became apparent the administration would need to take more drastic measures. A one-time, crisis mode of budget cutting would not provide long-term solutions to stabilizing the University's operating budget.

Interim President Jones implemented a more aggressive spending reduction plan in May 2012. This reduction plan cut or eliminated expenses that were not aligned to support the core mission goals outlined in the University's strategic plan. As Table 4 indicates, the University ended 2012-13 and 2013-2014 with a budget surplus as a result of this new approach.

Since 2009-2010, the percentage of money spent on various operating budget categories has shifted. Compensation and benefits increased as a percentage of E&G from 67% in 2009-2010 to 72% in 2013-2014, or nearly $3.5 million (See Table 5). Yet, the total workforce decreased from 918 to 888 during this period, a decrease of 3.2%. Pay and benefits negotiated in collective bargaining agreements and rising health care and pension costs are among the reasons for this shift.

At the same time, the University debt increased by $80 million because of significant campus capital improvements, such as a parking garage and the Convocation Center. Debt service expenditures increased from 3% of the operating budget in 2009-2010 to over 5% in 2013-2014. After the administration more carefully monitored resources and spending, the Services and Supplies budget category decreased from 28% in 2009-2010 to 24% in 2013-2014. (Table 5) The administration is closely monitoring the debt service expenditures on campus and is committed to maintaining the debt level at no greater than 8% of the overall operating budget.

The current interim president called upon all university vice presidents to reduce or eliminate expenses in each division, based on the strategic goals of the University. In addition, a new decentralized budgeting model was introduced in 2012-13 that increased input into the budget development process. Since then, senior level administrators have established and refined budgets within their respective areas, as well as identified new opportunities that increase or generate revenue.

Table 4: Year-End Educational and General Budget					
	FY 2009-2010	FY 2010-2011	FY 2011-2012	FY 2012-13	FY 2013-2014
SOURCES					
E & G Appropriation	$ 29,022,845	$ 29,650,730	$ 26,892,201	$ 27,582,317	$ 27,106,754
ARRA Federal Stimulus	4,735,048	2,837,008	-	-	-
Performance Funding	4,867,978	3,694,068	2,290,012	2,895,817	2,644,556
Tuition	58,768,072	64,219,101	68,561,054	66,156,287	65,699,355
Fees	8,981,260	9,959,316	12,796,600	11,466,126	11,287,396
Investment Income	892,304	963,717	367,332	902,198	5,313,983
Sales, Services and Other Sources	4,936,591	6,899,185	4,490,078	4,195,081	-
Total Sources	$ 112,204,098	$118,223,125	$115,397,277	$ 113,197,826	$ 112,052,044
USES					
PERSONNEL					
Salaries, Wages & Benefits	$ 73,477,588	$ 77,495,992	$ 76,715,593	$ 74,156,326	$ 77,352,351
Student Wages	2,994,053	3,525,767	3,180,954	2,748,422	2,629,768
Total Personnel	$ 76,471,641	$ 81,021,759	$ 79,896,547	$ 76,904,748	$ 79,982,119
OPERATING, CAPITAL & TRANS.					
Services and Supplies	$ 31,376,514	$ 30,089,477	$ 27,472,827	$ 21,121,285	$ 23,135,602
Utilities	2,347,435	2,342,976	2,266,122	2,118,643	2,383,265
Transfer for Debt Srvc.	3,119,241	4,666,320	6,166,773	6,140,418	6,099,025
Capital and Trans. for Life Cycle	647,884	1,609,207	744,225	4,552,081	(244,597)
Total Operating, Capital & Trans.	$ 37,491,074	$ 38,707,980	$ 36,649,947	$ 33,932,427	$ 31,373,295
Total Uses	113,962,715	119,729,739	116,546,494	110,837,175	$ 111,355,414
Sources less Uses	$ (1,758,617)	$ (1,506,614)	$ (1,149,217)	$ 2,360,651	$ 696,630

Table 5: Distribution of E&G Expenditures & Transfers									
Fiscal Year	Compensation/ Benefits		Services & Supplies		Utilities		Debt Service		Capital & Transfer	
2009-2010	$76,471,641	67%	$31,376,514	28%	$2,347,435	2%	$3,119,241	3%	$647,884	1%
2010-2011	$81,021,759	68%	$30,089,477	25%	$2,342,976	2%	$4,666,320	4%	$1,609,207	1%
2011-2012	$79,896,547	70%	$27,472,827	24%	$2,266,122	2%	$6,166,773	5%	$744,225	1%
2012-13	$76,904,748	69%	$21,121,285	19%	$2,118,643	2%	$6,140,418	6%	$4,552,081	4%
2013-2014	$79,982,119	72%	$23,135,602	21%	$2,383,265	2%	$6,099,025	5%	-$244,597	0%

Prior to 2011-2012, little effort was spent evaluating whether personnel vacancies aligned with the University's strategic goals. Since then, workforce planning has become key. All new and/or replacement positions go through a lengthy evaluative process to determine if the position should be filled or not. Alternatives, such as increasing faculty overload, hiring temporary employees (faculty and staff), reassigning duties, and merging of departments are just some of the solutions that have been pursued. Between 2010-2011 and 2011-2012, some staff positions were eliminated in non-core mission areas. In 2013-2014, a staff workforce reduction plan for all divisions at the University was developed. Then in Fall 14, and as reported in Section 3, 30 positions, including 12 union positions and those of four managers, were cut. The administration decided not to fill an additional 14 other jobs. Of the 16 people who were furloughed, none were members of the Association of Pennsylvania State College and University Faculties (APSCUF). The administration determined that the jobs that were cut would not affect the delivery of services to students.

Audited Financial Statements

California University Financial Statements for the fiscal years ending June 30, 2010, through June 30, 2014, with related Management Letters are included as Appendix K.

Unrestricted Net Assets

Table 6 provides a multi-year analysis of the changes in unrestricted net assets, excluding compensated absences and post-retirement obligations. As can be seen by Table 6, E&G Operating and Plant shows a significant increase from 2011-2012 to 2012-2013, as a result of the administration analyzing how to contain costs. The decrease in this category for 2013-2014 is related to such infrastructure improvements as technology upgrades, fire alarm upgrades,

athletic field improvements and roof replacements. The decrease in Auxiliary net assets for 2013-2014 is from construction payments for the Natali Student Center renovation project.

Table 6: Trends in Unrestricted Net Asset Allocations (All Sources)					
Funding Source	2009-2010	2010-2011	2011-2012	2012-13	2013-2014
E&G Operating & Plant	$ 8,866,021	$ 8,233,324	$ 6,401,195	$ 12,472,998	$ 11,650,890
Auxiliary	$ 7,899,879	$ 8,556,373	$ 10,751,864	$ 11,370,822	$ 10,364,724
Total	$ 16,765,900	$ 16,789,697	$ 17,153,059	$ 23,843,820	$ 22,015,614

4.2 Future financial projections

The E&G budget projections, as shown in Table 7, for 2014-2015 through 2017-2018 are based on the following assumptions:

1) Level appropriation funding;
2) Annualized FTE enrollment for FY 2014-2015 and FY 2015-2016, as follows:
   a. Undergraduate – decrease of 6% both years
   b. Graduate – increase of 5% both years
3) Annualized FTE enrollment for FY 2016-2017 and FY 2017-2018, as follows:
   a. Undergraduate – decrease of 5% both years
   b. Graduate – increase of 3% both years
4) 3% increase in tuition each year;
5) 5% increase in salaries and benefits for FY 2016-2017 and 2017-2018;
6) 10% decline in FY 2015-2016 operating budgets; and, *
7) 5% decline in 2016-17 and 2017-2018.*
   * To offset a FY 2015-2016 projected deficit, university officials estimate there will need to be a 10% drop in the operating budget that year but are optimistic that for FY 2016-2017 and 2017-2018 that the deficit will not be as large.

The economic climate in western Pennsylvania has been slow to recover as compared to the rest of the state and nation. Extensive investment has been placed in retention efforts, as well, in order to enhance the student success within the classroom. These efforts are showing positive results that have reduced the attrition rate (see Table 8), thereby improving overall student academic success at the University.

Table 7: Current and Future Budget Projections 2014-2018				
	FY 2014-2015 CURRENT YEAR	FY 2015-16 FUTURE YEAR	FY 2016-17 FUTURE YEAR	FY 2017-18 FUTURE YEAR
SOURCES				
E & G Appropriation	$ 27,008,657	$ 27,008,657	$ 27,008,657	$ 27,008,657
Performance Funding	$ 2,771,521	$ 2,771,521	$ 2,771,521	$ 2,771,521
Tuition	$ 68,512,293	$ 67,744,955	$ 67,683,984	$ 67,623,068
Fees	$ 11,905,811	$ 11,429,578	$ 11,086,690	$ 10,754,089
All Other Revenue	$ 5,441,661	$ 5,400,000	$ 5,400,000	$ 5,400,000
Planned Use of Carryforward	$ -	$ -	$ -	$ -
Total Sources	$ 115,639,943	$ 114,354,711	$ 113,950,852	$ 113,557,335
USES				
PERSONNEL				
Faculty & Staff Salaries & Wages	$ 55,523,042	$ 55,688,733	$ 58,473,170	$ 61,396,828
Benefits	$ 25,741,033	$ 26,616,817	$ 27,897,658	$ 29,242,541
Student Wages	$ 2,379,768	$ 2,379,768	$ 2,379,768	$ 2,379,768
Total Personnel	$ 83,643,843	$ 84,685,318	$ 88,750,596	$ 93,019,137
OPERATING, CAPITAL & TRANSFERS				
Services, Supplies, Student Aid & All Other	$ 24,937,644	$ 22,582,308	$ 21,453,192	$ 20,380,532
Utilities	$ 2,478,595	$ 2,577,739	$ 2,680,848	$ 2,788,082
Transfer for Debt Service	$ 5,931,425	$ 5,931,425	$ 5,931,425	$ 5,931,425
Transfer for Internal Capital Projects	$ 800,000	$ 500,000	$ 500,000	$ 500,000
Total Operating, Capital & Transfers	$ 34,147,664	$ 31,591,472	$ 30,565,465	$ 29,600,039
Total Uses	$ 117,791,507	$ 116,276,790	$ 119,316,061	$ 122,619,176
Sources less Uses	**$ (2,151,564)**	**$ (1,922,079)**	**$ (5,365,209)**	**$ (9,061,841)**

Table 8: Retention Rates 2009- 2013					
Fall Cohort Year	Head Count	Total Cohort Retained (second year)	2nd Year Retention Rate	Total Cohort Retained (third year)	3rd Year Retention Rate
2009	940	695	73.90%	609	64.8%
2010	889	655	73.7%	554	62.3%
2011	838	654	78.0%	547	65.3%
2012	624	498	79.80%	411	65.9%
2013	1109	850	76.6%	----	----

Note: All statistics are based on first-time, full-time, baccalaureate degree-seeking freshmen.

Coupling these enrollment and retention efforts with strategic reductions in overall operating expenditures, University administration is committed to ensuring that the projected deficits will be significantly reduced or eliminated in future years.

In order to provide greater transparency and broader campus representation in relation to University finances, the formation of a Budget and Planning Committee was submitted to the President's Cabinet for consideration. This recommendation was forwarded to the Shared Governance Task Force for inclusion in the new governance model under development. The proposed committee charge and composition is as follows:

University Budget and Planning Committee Governing Charge and Composition

The University Budget and Planning Committee serves primarily as an advisory body to the University Cabinet. The Vice President for Administration and Finance will oversee and guide this committee as it aligns the University's strategic goals with the University budget.

The Budget and Planning Committee will have five principal areas of responsibility:
1. Aligning the University strategic plan with the University budget;
2. Establishing short- and long-term funding priorities that support the strategic plan and goals of the university;
3. Prioritizing requests for additional funds;
4. Providing input regarding the proposed university budget and reductions in budget allocations; and,
5. Providing cost containment recommendations.

The composition of the Budget and Planning Committee will be:
*   The vice president of Administration & Finance, to serve as chairperson
*   The vice president of Student Affairs   *   The local APSCUF president
*   The student government president   *   The local AFSCME president
*   The local OPEIU president   *   The local SCUPA president
*   The local SPFPA president   *   A representative of Academic Affairs
*   The associate vice president of administration (budget director) to serve as ex officio member

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The proposed Budget and Planning Committee will play an important role in order to allocate limited funds most effectively. These efforts include provisions to increase revenues and decrease expenditures while maintaining the academic quality and effectiveness of the University. Similar strategic planning efforts over the past five years have resulted in significant financial savings; the challenge will be to find similar savings going forward without harming the core mission of the University. Through the efforts of the President's Cabinet and the Budget and Planning Committee (Fall 2015), the University community will work toward achieving an annual balanced budget in the face of the University's current budget constraints.

Appropriate measures will be taken to protect, preserve and enhance the academic integrity and core mission at Cal U while maintaining the University's fiscal responsibilities.

IPEDS Data and Reports

As required by Middle States, the financial data submitted by California University to the Integrated Post-Secondary Education Data System (IPEDS) for the past three years, as well as the IPEDS Feedback Report for 2010, are included in Appendix L.

4.3 Historical enrollment trends

In Fall 2010, 1,386 new freshmen and 774 new transfer students enrolled, bringing enrollment to a peak (see Table 9). However, starting in Fall 2011, the number of high school graduates within our primary geographic region was falling, according to Western Interstate Commission for Higher Education (WICHE) data. By Fall 2014, Cal U had experienced a 26% decline in new freshmen enrollment, compared to Fall 2010, and a 9% decline in new transfer enrollments since Fall 2010.

Table 9: Historical Enrollments 2010 – 2014					
STUDENT TYPE	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014
First-Time Freshmen	1386	1346	954	1174	1023
New Transfer Students	774	729	635	583	703
New Graduate Students	884	816	766	693	830
Continuing Undergraduate Students	5259	5342	5092	4693	4350
Continuing Graduate Students	1097	1250	1161	1100	1072
Total	9400	9483	8608	8243	7978
Global Online Students	1756	1852	1783	1832	1955
On-Campus Students	7644	7631	6825	5411	6023

4.4 Future enrollment projections

According to WICHE projections starting from 2010, the number of high school graduates in Pennsylvania will continue declining each year until 2020. Thus, recruiting traditional-age college students will be an increasing challenge to most PASSHE universities in the coming decade. It is estimated that Cal U's overall undergraduate enrollment will decline approximately 8.6% between 2014 and 2017.

Overall, based on the above projections, it is expected that Cal U's annualized FTE enrollment, including both undergraduate and graduate students, will continue to decline up to 2017. Ranging from a 1% to 3% decrease on an annual basis, the University's overall FTE enrollment will remain slightly above 7,000 by 2017, as shown in Table 10.

Table 10: Projected Future Enrollments 2015-2018			
STUDENT TYPE	Fall 2015	Fall 2016	Fall 2017
Undergraduate			
Resident	5229	5077	4984
Non-Resident	599	582	572
Sub-Total Undergraduate	5828	5659	5556
Graduate			
Resident	1382	1352	1368
Non-Resident	649	635	643
Sub-Total Graduate	2031	1987	2011
Total Resident	6611	6429	6352
Total Non-Resident	1248	1217	1215
Total Fall Headcount	**7859**	**7646**	**7567**

To meet the challenge of declining enrollment, the University has added competitive programs to attract more nontraditional and foreign students for graduate and undergraduate online programs. As a result, Global Online enrollment increased by 11.3% between Fall 2010 and Fall 2014. Through these initiatives, the University expects graduate enrollment for the next three years to steadily increase. In addition, the newly created office of International Programming is developing strategies to increase enrollment of international students.

Recruitment of traditional-age high school and transfer students is being guided by strategies such as the Smart Approach, a statistical, predictive model that pinpoints potential students. Faculty outreach, multimedia, and interactive department open house programs also support the recruiting process. Finally, ongoing efforts to recruit more transfer students are aided by over 35 articulation agreements with a variety of institutions, including community colleges, baccalaureate degree universities and proprietary schools.

SECTION 5: ORGANIZED AND SUSTAINED PROCESSES TO ASSESS INSTITUTIONAL EFFECTIVENESS AND STUDENT LEARNING

Cal U uses a variety of well-coordinated strategies to assess institutional effectiveness and student learning. The primary objective of this assessment process is to measure how effective the University is at achieving the goals of its mission and strategic plan, and part of this assessment includes measuring student learning outcomes. The assessment process also includes using the results of these assessments for institutional improvement, planning, and financial decision-making.

Developed in Fall 2014, the Assessment of Institutional Effectiveness website describes the assessment process (http://www.Cal U.edu/academics/academic-affairs/assessment-of-institutional-effectiveness/index.htm).

5.1 Institutional Assessment Framework

Assessment of institutional effectiveness and student learning is guided by the framework below, which was adopted in Fall 2014.

Assessment of Institutional Effectiveness Framework
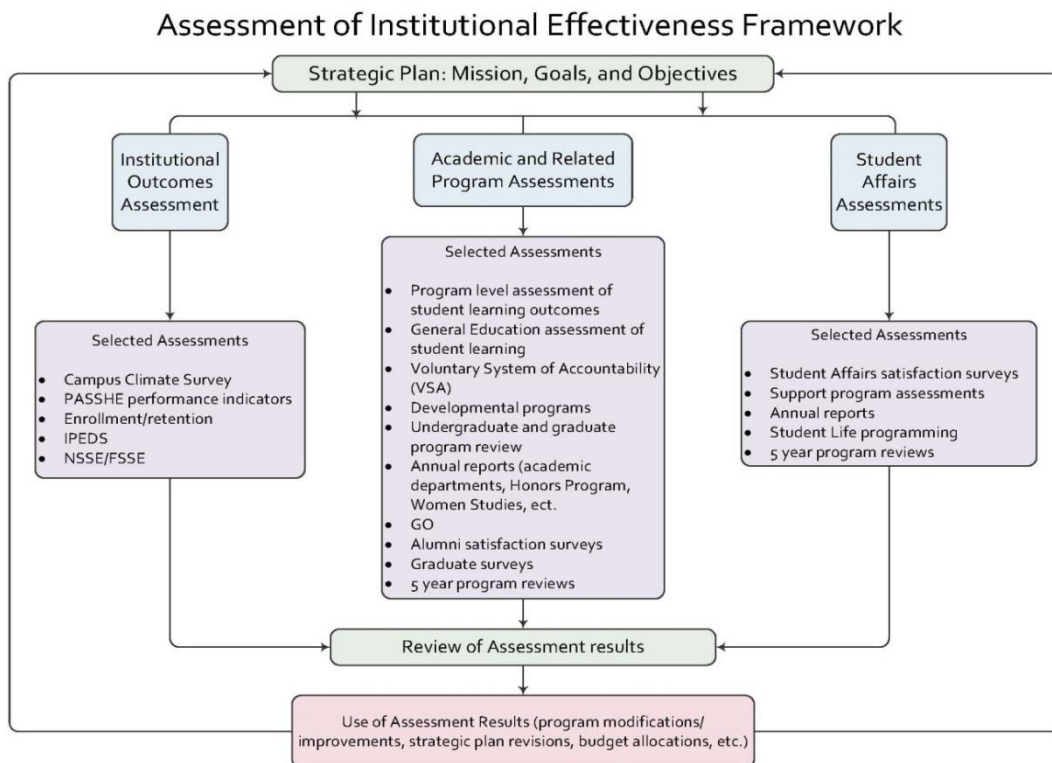
As indicated in the above graphic, assessment of institutional effectiveness begins with the University strategic plan, which specifies goals, objectives, methods, and success criteria. The University is in the process of developing a new strategic plan to serve the years of 2015-2020; progress on this project is documented in Section 2 of this report. In the meantime, while being guided by Interim President Jones' three-pronged strategic vision for the advancement of California University during its leadership transition period, Cal U is operating on an extension of the 2009-2012 strategic plan. The components of this vision are 1) focus on our core mission, the academic education of our students; 2) stabilize and grow enrollment; and 3) utilize sound business practices in the operation of the University. Assessments are still being conducted and data are still being collected.

The table below outlines a sample of university assessments and aligns these assessments with the goals of the 2009-2012 strategic plan.

Goal 1: To continue to increase university academic excellence at both the undergraduate and graduate levels		
NSSE	Annual program reports	Accreditation Reports
FSSE	ACT student opinion survey	University Forum minutes
Goal 2: To continue to enhance the quality of student life		
Residence life survey	Wellness Center survey	Vulcan Village survey
Coaches' evaluation of sports	Greek Summit 2011 assessment	UTech Services satisfaction survey
Intramurals survey	NSSE	
Goal 3: To continue to enhance diversity, as broadly defined, at California University		
PASSHE performance indicators	Campus Climate Survey	
Annual program reports	University Forum minutes	
Goal 4: To continue to incorporate continuous improvement into all programs and activities, university-wide, to ensure competitive excellence		
NSSE	ACT student opinion survey	Campus Climate Survey
FSSE	Academic program annual reports	University Forum minutes
Goal 5: To continue to improve the infrastructure of California University of Pennsylvania		
University operating budget	Information Technology strategic plan	
Capital Campaign report	UTech satisfaction survey	
Goal 6: To continue to serve the region, the commonwealth, and the nation		
Internship Center annual report	Career Services annual report	Government Agency Coordination
Convocation Center annual report	Academic program annual reports	Office(GACO) annual report
Goal 7: To continue to enhance the use of existing resources and develop/increase new sources of revenue		
Annual university budget reports	School of Graduate Studies and Research annual report	
Goal 8: To foster civic engagement, that is, a commitment to accept and perform the duties and obligations of belonging to a community, a commonwealth, a nation, and the world		
American Democracy Project report	ACT student opinion survey	Character Education Institute report
Academic programs' annual reports	Campus Climate survey	NSSE

These assessment results will help Cal U administration determine which goals of the 2009-2012 strategic plan have been achieved and can possibly be revised. Ongoing assessment also provides guidance as the University formulates new goals.

The 2013 Progress Report detailed how Cal U is using assessment data to develop the new strategic plan and how assessment of the objectives of the new strategic plan will be incorporated into its implementation. The new strategic plan will clearly articulate the University mission, goals, and objectives along with assessment methods and success criteria. Refer to Commission Action 2 for details about the new strategic plan.

Institutional outcomes assessment is a set of assessments that measure outcomes related to the University as a whole. For example, the Campus Climate Survey (http://www.Cal U.edu/campus-life/campus-climate-survey/index.htm) examined the climate for living, learning, and working at Cal U. A detailed description of this assessment can be found below in Institutional Assessment Example 1. These university-wide assessments are conducted and reported by the Office of Institutional Research and Planning. Another example of a university-wide assessment is the National Survey of Student Satisfaction, which is described in Institutional Assessment Example 2.

Academic and related program assessments are a set of assessments related to the academic sector of the University. Administered through the Office of Academic Affairs, these assessments examine program-level student learning outcomes, general education student learning outcomes, accreditation, graduate satisfaction, and academic programs (through the PASSHE 5 year program review process), for example. A detailed description of program-level student learning outcomes can be found below in Assessment of Student Learning. General education outcomes assessment is described in detail in Section 2, Commission Action 3 above. Department annual reports are detailed in the Institutional Assessment Example 3.

Student Affairs Assessments measure the student learning outcomes of the programs and services that foster the holistic development of students. For example, five-year program reviews provide data about students who participated in Student Affairs programming and their satisfaction with the services. The Multicultural Programming Services five-year program review is described below in Institutional Assessment Example 4.

As the Assessment of Institutional Effectiveness Framework indicates, data from the assessment activities described above are reviewed regularly by a variety of groups, including

President's Cabinet, Administrative Council, Academic Affairs Council, Deans'/Provost Council, Provost's Council, department/program faculty, graduate and undergraduate college councils, student affairs councils, and accreditation committees.

The last step of the Institutional Effectiveness Framework is <u>using assessment results to make program modifications/improvements, strategic plan revisions, budget allocations, etc</u>. The Strategic Plan Report Card (see Appendix C) is one strategy the administration uses to facilitate these improvements, revisions, and allocations. The report card compiles goals, objectives, methods, and accomplishments of the strategic plan and provides assurances of continuing review of assessment results. As another example at the division level, department annual reports include budget requests that are the basis for budget allocations. The assessment of institutional effectiveness is a cyclical process, with assessment results leading back to the strategic plan for potential revisions.

5.2 Assessment of institutional effectiveness

A. <u>The institutional assessment process</u>

<u>Data collection</u>. The process of assessing institutional effectiveness at Cal U is supported by the Office of Institutional Research (IR) http://www.Cal U.edu/academics/institutional-research/index.htm, which provides data and analytical support for external and internal institutional reporting requirements. The office coordinates the collection of data for federal (e.g., the Integrated Post-secondary Educational Data System – IPEDS), state (e.g., faculty productivity and assignment report – Snyder report), PASSHE system (e.g., System Accountability Reports, performance indicators) and institutional (e.g., graduated student satisfaction surveys, student recruitment/retention studies) reports.

The Office of Academic Affairs oversees other assessment data (e.g., department annual reports, five-year reviews of academic programs, program accreditation reports, and the Voluntary System of Accountability). The Office of Social Equity also collects assessment data (e.g., campus climate survey), as does the Office of Continuous Improvement (e.g., NSSE and the Career Services Satisfaction Survey). See Appendix M for a chronology of surveys administered by the Office of Continuous Improvement.

<u>Review of assessment results</u>. As noted in the December 2013 progress report, the assessments mentioned above cast a broad net over all areas of the University and are reviewed by the <u>President's Cabinet</u>, (which includes the vice presidents for academic affairs, student

affairs, university technology, administration/finance, marketing and university relations, and university development/alumni relations); the <u>Administrative Council</u> (representing all areas from mid-level management to the President); the <u>Academic Affairs Council</u> (all programs that directly report to the Provost); the <u>Deans'/Provosts' Council</u> (academic deans, associate provosts, and the provost); and the <u>Provost's Council</u> (all academic department/program chairs). Other groups reviewing assessments include graduate and undergraduate college councils, departments, student affairs councils, programs, and program accreditation committees.

<u>Use of assessment results</u>. In the institutional assessment process, several methods are employed to facilitate the use of assessment results to make program modifications/improvements, budgetary decisions, and/or strategic plan revisions.

Most comprehensively, the Strategic Plan Report Card (Appendix C) presents a compilation of the goals, objectives, methods, and accomplishments of the 2009-2012 strategic plan. The report card is completed annually. Vice presidents and deans contribute to the scorecard by indicating, based on assessment data, whether the methods were used or not and whether the objectives should remain in the strategic plan.

The University reports assessment results in several ways. Cal U publications such as the *Cal U Review* (alumni magazine), Academic Affairs newsletter, APSCUF (faculty union) newsletter, the *California University Journal* (faculty and staff newsletter), and the *Cal Times* (student newspaper), include announcements, press releases, and articles about program accreditation, outcomes assessment, awards, and other outcomes. Notices of outcomes are placed on the University's website. Finally, PASSHE publications such as the weekly *State System News Highlights* feature university news items. Samples of these publications are in Appendix N.

Regularly, the President reports outcomes information to the Council of Trustees (COT) at the group's quarterly meetings. Each of the University's five divisions provides a video report as well as a detailed printed report. For example, at the March 6, 2013, council meeting, the Office of Student Affairs reported on the 2011-2012 year Analysis Report of Athletics and Equity, noting the gender of athletes and the disbursement of athletic scholarships (Strategic Plan Goal Three), among other issues. As another example, Student Affairs reported on the 2013 Occupancy Reports, noting a slight decline, and presented strategies to increase occupancy in the future. Agendas of Council of Trustees meetings are in Appendix N.

B. Institutional assessment example 1 – Campus Climate Survey

Aligned with the 2009-2012 Strategic Plan Goal Three (to continue to enhance diversity, as broadly defined, at California University), the Campus Climate Survey provided critical information about how all campus constituents (faculty, students, and staff) perceive the environment in which they live, work, and learn. Conducted in the spring semester of 2013, the Campus Climate Survey revealed several strengths:

- the majority of students thought positively about their academic experiences
- the majority of employees were satisfied with their jobs/careers
- the majority of faculty and students were comfortable with the classroom climate
- the majority of respondents were comfortable with the overall climate and with their respective department and work unit climate.

The survey also revealed opportunities for improvement centered around disability status, racial identity, and gender identity. Some respondents also felt there is differential treatment of staff and sexual misconduct.

Next, a post-survey committee organized town hall forums in Fall 2013 with campus constituents. The goal of the forums was to develop two to three specific and measurable actions that can be accomplished during the next few years. The actions were to be incorporated into the new strategic plan. Unfortunately, few people attended the forums and it was not possible to develop the measurable actions.

The post-survey committee regrouped during Spring 2015 to re-examine the Campus Climate Survey results and to reconsider possible follow-up activities. The group was charged with developing two to three recommendations and a plan for implementation. The post-survey committee made the following recommendations:

1. Incorporate race and gender identity, disability, LGBQT, differential treatment of staff, and sexual misconduct into University strategic plan and the University Budget
2. Identify what we currently do related to campus climate, develop a plan for communication, and develop an assessment plan
   - Identify what we currently do in these areas
   - Identify the point person within the colleges and departments who already provide services
   - Communicate the results of this inventory to faculty, staff, and students
   - Recommend all students take multicultural/cultural competency/proficiency courses
   - Recommend all staff be provided multicultural/ cultural competency training

- Assess campus climate every 3 years. Survey (every 3 years) – time to implement plan and see some changes; offer same survey to track change for stronger evidence

The post-survey group will continue to work on the implementation of these recommendations over the next year.

For details about the Campus Climate Survey, see http://www.Cal U.edu/campus-life/campus-climate-survey/index.htm.

C. Institutional assessment example 2 – National Survey of Student Engagement

Goal 1 of the 2009-2012 strategic plan is to continue to increase university academic excellence at both the undergraduate and graduate levels. The National Survey of Student Engagement (NSSE) is an assessment for this goal. Since the 2010 decennial evaluation, California University has participated in NSSE assessments in 2011, 2013, and 2015. The overall results of the assessment are encouraging. When compared to PASSHE institutions, its NSSE "Carnegie class," (the kind of institution it is in terms of levels of degrees given and other measures) and NSSE scores overall, Cal U's mean scores on all five "Benchmarks of Effective Educational Practice" categories have increased since 2009. In 2009, the mean score for one of the benchmarks (Level of Academic Challenge), again when compared to PASSHE, Cal U's Carnegie class, and NSSE scores overall, was lower at Cal U. Additionally, 2009 results indicated that students believe Cal U courses emphasize memorizing more than higher order thinking skills (i.e., analysis, application, etc.). See Appendix O for a summary of the NSSE results.

Based on these results, as reported in the December 2013 Progress Report, university administration took a comprehensive approach to develop strategies for improving students' perception of academic rigor at Cal U. Following the Institutional Effectiveness Framework above, discussions were held with faculty at college council meetings about ways to increase rigor in academic programs. During these discussions, a detailed analysis of the NSSE results was presented to faculty to put the results in perspective and to focus on the possibility of curricula changes that would increase rigor.

This process led to curricular changes that are described in department annual reports, described below in Institutional Assessment Example 3 and include such High-Impact Educational Practices as internships, undergraduate research activities and service learning

projects. Moreover, the University launched a Center for Undergraduate Research, described in Section 6. The administration set aside a pool of funds to support student-faculty research and organized a task force of faculty to develop the policies and procedures related to these funds. As another strategy to improve academic rigor, the University hired a Director of International Programs to assist in diversity/global learning initiatives, such as study abroad. Furthermore, the Faculty Professional Development Center adopted high-impact educational practices as its theme for professional development activities for the 2013-2014 academic year.

NSSE 2011 results showed a Cal U mean score that was lower than PASSHE's, Cal U's Carnegie class, and NSSE overall scores in the "Level of Academic Challenge" category. NSSE 2013 results indicate no significant difference in Academic Challenge when Cal U senior students are compared with PASSHE students, other students in Cal U's Carnegie Class, and students taking the NSSE on three of the indicators in the Academic Challenge category (higher-order learning, reflective and integrative learning, and learning strategies).

Additionally, results indicate Cal U students' average for the qualitative reasoning indicator was significantly higher, compared to PASSHE and Cal U's Carnegie class. This is an improvement over the 2011 results. The administration is pleased with this result and will continue to stress high-impact practices in academic programs. The new strategic plan will support this practice.

D. <u>Institutional assessment example 3</u> – Annual Reports

Goal 4 of the 2009-2012 strategic plan is to continue to incorporate continuous improvement into all programs and activities, university-wide, to ensure competitive excellence. Academic departments and units are required to submit an annual report in June of each year. The reports include such items as the number of students enrolled, faculty/department activities, curricular revisions, department goals, and general operating and accreditation budget requests (see Appendix P for report format). These items are discussed at the annual Deans'/Provosts' Council retreat in June when decisions are made about new faculty positions and operating and accreditation budget allocations.

For example, 15 tenure-track faculty were hired for the 2013-2014 academic year. The respective departments argued for these tenure-track lines in their 2011-2012 annual reports. The Deans'/Provosts' Council reviewed the reports at their retreat and presented their recommendations to the President. Faculty searches were conducted during Fall 2012 and Spring

2013 and the new faculty were hired. Similarly, five new faculty were hired for the 2014-2015 academic year.

Departments also request, in their annual reports, funds for seeking and/or maintaining accreditation. The Deans'/Provosts' Council reviews these requests. In the 2012-2013 academic year, based on the requests in the department annual reports, the administration approved an allocation of over $230,000 to 20 departments that are either already accredited or seeking accreditation; $275,000 was allocated in 2013-2014, and $337,000 in 2014-2015.

E. Institutional assessment example 4 – Five-year Program Review

Goal 2 of the 2009-2012 strategic plan is to continue to enhance the quality of student life. The Student Affairs division conducts a variety of assessments, such as a residence life survey and the Wellness Center survey, to assess this goal. The five-year program review is one such assessment tool. Required by PASSHE, these reviews aim to assure continuous improvement and must be integrated with strategic-planning and budgeting processes, with regional and specialized accreditation processes, and with student-learning outcomes assessment. See Appendix Q for the PASSHE five-year program review template. For its reviews, Student Affairs uses the Council for the Advancement of Standards (CAS) in Higher Education Self-Assessment Guides, which provide "institutional and unit leaders a tool to assess programs and services using currently accepted standards of practice." In August of 2012, the Office of Multicultural Student Programs and Services conducted a five-year review which resulted in an action plan. The review revealed, among other recommendations, a need for increased funding for events and workshops. As a result of this recommendation, a request for additional funds was presented by the program director to the Vice President of Student Affairs for consideration during the Student Affairs budgeting process. The results of the review were reported to the Cal U COT in the Student Affairs quarterly report (see Appendix R).

As another example, the General Education Program five-year review is described above in the response to Commission Action 3.

5.3 Assessment of Student Learning Outcomes

Assessment of General Education Student Learning Outcomes is detailed in Section 2, Commission Action 3. The section below details Program Level Assessment of Student Learning Outcomes.

Cal U has been conducting university-wide assessment of student learning outcomes (ASLO) since 1990. An associate provost and representatives from the three undergraduate colleges (Liberal Arts, Science and Technology, and Education and Human Services) and the College of Graduate Studies and Research comprise the University-Wide Assessment of Student Learning Outcomes committee that manages the ASLO process. Standardization is achieved through the use of a year-end report template that all programs use to report ASLO activities. Program facilitators use three additional documents to guide their report: *ASLO Handbook*, *ASLO Guidelines* and *Year-End Report Checklist* (see Appendix S1, S2, and S3). One goal of this standardization was to align the ASLO process with two other required academic reports – the Department Annual Report and the Five-Year Program Review – by requiring ASLO reporting as a part of these reports.

The assessment of student learning outcomes at Cal U follows a clear protocol. Programs identify their mission, educational goals and learning objectives (which are measureable reflections of the goals). These three sections of an outcomes assessment plan are aligned. Programs state the skills and competencies expected of students who complete the academic program. Programs declare in the mission what the program hopes to achieve from the learning process in each course. That is, course objectives are a term-by-term delineation of the program mission. Additionally, each program creates/selects its own tools of assessment (referred to in the ASLO year-end report as the "means by which these objectives are to be measured"). Criteria for success are established for each measure that reflect Cal U's institutional goal of excellence. Programs are expected to identify two learning objectives to be measured each academic year.

Each academic year, program facilitators collect data using measures previously agreed upon. The facilitators analyze the results and then present the findings to faculty in the program. The faculty members discuss the results and determine plans to improve the program. These plans must address 1) the criteria for success that were not met and, 2) how the program will maintain excellence in program areas that are meeting criteria for success.

The "Year-End Report" is submitted by September 30 of each year to the University-wide Assessment of Student Learning Outcomes Committee. Using a rubric, this committee evaluates each report (see Appendix S4), and gives feedback and rates programs about their ability to assess student learning outcomes. The ratings include: "Approved," "Approved with Reservations," "Needs Improvement" and "Not Submitted."

The University-wide Assessment of Student Learning Outcomes Committee has College Coordinators for the College of Liberal Arts, Eberly College of Science and Technology, College of Education and Human Services, and School of Graduate Studies and Research who work with the faculty members in each department or program who are in charge of ASLO for that unit. The University-wide ASLO committee encourages each department or program to use the feedback to improve programs. All programs receive a feedback letter that details the excellent aspects of the program's ASLO efforts (to support the process in the department and clarify expectations), as well as suggestions for improvement. An example of a feedback letter is in Appendix S5. In 2014, the Committee added a section to the beginning of the "Year-End Report" form. This section requests a description of how the program was modified in response to the data gathered from the previous year.

In 2013, a Student Learning Outcomes Assessment shell was created in D2L (which all faculty have access to). This shell contains the Guidelines for submission of the Year-End Report, the Year-End Report Form, the ASLO Rubric that the committee uses to determine the rating for the report and a Checklist Companion. Additional resources (such as videos of training workshops and an ASLO manual for department facilitators' use) are posted on the shell as well. Additionally, the University is exploring using LiveText and TracDat as tools for assessing at the course and program level, for collecting and analyzing data, and for managing reports.

Program "buy in" has increased since the 2010 Cal U Self- Study. The following table compares the number of existing programs (all of which require assessment), the number and percentage of programs completing the assessment and the number and percentage of programs earning each level of rating for the academic years since the Self-Study in 2010. Programs that participate in assessment are eligible for a financial incentive; the amount of the award is based on the Year-end report evaluation rating. Additionally, training frequently is held to help program facilitators better prepare to complete the Year-End Report. The ASLO committee was expanded from a membership of four to eight to provide additional committee members to guide and advise program facilitators in completing the Year-End Report. Programs not submitting a report are sent a letter of noncompliance that encourages them to participate, and offers them support and guidance about the process. Departments housing these programs do not receive incentive funds.

Assessment of Student Learning Outcome Reports				
	2010-2011	2011-2012	2012-13	2013-2014
Number of Programs	46		77	69
Number (Percent) Submitted Reports	35 (76%)		56 (73%)	52 (75%)
Number (Percent) Earning *Approved* Rating	15 (43%)		17 (30%)	17 (33%)
Number (Percent) Earning *Approved with Reservations* Rating			20 (36%)	17 (33%)
Number (Percent) Earning *Needs Improvement* Rating			19 (34%)	18 (34%)
Number (Percent) Earning *Not Submitted* Rating			21 (27%)	17 (25%)
Data are not comparable for 2010-2011 to 2011-2012 and forward because the rating categories were reduced and defined by different levels of quality.				
Data are missing for 2011-2012 due to a change in leadership – the associate provost on the ASLO Committee left the University.				
Programs in these categories receive feedback on how to improve their year-end reports.				

The assessment process at Cal U is useful. Cal U uses Assessment of Student Learning Outcomes (ASLO) to determine course content, pedagogical approaches, assessment strategies, and curriculum changes. At the administrative level ASLO informs course schedules, faculty hiring priorities and budget allocations." For example, the programs that have developed five-year ASLO plans are encouraged to revise the plans that are not capturing the type of data or answering the curriculum questions that help departments conduct program revision. The following 4 examples are actual excerpts from program year-end ASLO reports:

Example 1: Communication Disorders (undergraduate). Twenty-one of 26 students (80%) of the students received an average rating of 3.0 or better on the three parameters of the Interpretation of Data portion of the measurement rubric, with five of 26 students receiving an average score of 2.8 or below on a scale of 4.0. Although greater than 60% of the students met the criterion of 3.0 for both measurement scales, the average scores of the Interpretation of Data portion were lower (.5) for all three parameters than the scores for documentation. The results indicated that while the students can successfully determine the behaviors being measured and establish the criterion for the measurement of the behavior, they are having difficulty designing a data sheet that accurately allows for recording of data and reflects the child's performance on the target behavior. There was a tendency for students to chart only a (+)

or (-) and not indicate the number of trials, the child's performance on each of the trials, and what type of cues were provided.

Based on the results of the outcome measure on data collection, increased guided instruction on designing a data sheet, taking data, tallying the results, and interpreting what the scores can mean will be implemented in CMD 400 – Preschool. Sample data sheets that familiarize the students with a variety of options for collecting data will be provided and be posted on D2L. Additionally, a "hands-on" instructional lesson will be added to the syllabus and will occur prior to the first planned activity implemented in the preschool. Writing objectives and data review are also covered in a number of other CMD courses (CMD 450 Introduction to Clinical Procedures and CMD 320 Assessment of Speech/Language). The information collected from the assessment of student learning outcomes will be shared with the department faculty so that more emphasis may be placed in those parameters outlined in the Interpretation of Data section of these results that presented difficulties for some of the students.

Example 2: Criminal Justice/Justice Studies (undergraduate). Of 129 students, 122 (94.6%) enrolled in JUS 494 Seminar in Justice Studies Course were assessed using the ETS Criminal Justice Major Field Test. The mean national average, in the area of Research Methodology and Statistics, was 38.6, SD 8.8. Assessed Cal U students attained a mean of 33.5.The department is pursuing a search for a Generalist position. This position will be responsible for teaching the course "Criminological Theories." In addition, all course syllabi will contain a minimum of one objective that references student examination/analysis/ability to compare/contrast victimology and criminological theories. The addition of this objective will ensure that all courses in Criminal Justice address victimology and criminological theories, hence increasing student ability to identify and compare and contrast among these theories and concepts.

Example 3: Legal Studies: Law and Public Policy, Homeland Security, Criminal Justice Concentrations (graduate). The department implemented several actions that can be taken by faculty members to improve the students' research competencies. Professors were encouraged to seek out assistance from Cal U resource librarians to assist students in navigating the University's online library resources. The Cal U Library reacquired Westlaw, the legal research database.

Example 4: Counselor Education (graduate). The Professional Identity and the Social and Cultural Identity results from the 2012-2013 academic year administration of the College

Preparation Comprehensive Exam (CPCE) were extensively reviewed by the faculty during faculty meetings in the Fall 2013 semester. One thing we noticed was that scores were lower on the Professional Identity scale of the CPCE from years past. Though we met our objectives in this area, we redoubled our efforts in the 2013-2014 academic year to make sure that all faculty were covering relevant [Council for Accreditation of Counseling and Related Educational Programs](#) (CACREP) standards for both CED 789 and CED 700, the two courses primarily identified with Professional Identity in the curriculum. The course syllabi were reviewed to ensure relevant CACREP standards were being addressed. All faculty members have redoubled their efforts to promote Professional Identity in the courses they teach. Though we met our objectives with respect to Social and Cultural Identity for the 2012-2013 academic year, the faculty recognizes a continual need to expose our students to varied cultural populations and experiences. The faculty, especially Drs. Tinsley and Eliason, have continued to encourage students to participate in overseas programs. In the past several years, students have been exposed to diverse experiences in Puerto Rico, Belize, and South Africa germane to the practice of counseling. This summer, we will have students participating in an international conference in France, as well as study abroad courses in Ireland and Italy. The CED faculty will continue to be active in infusing multicultural issues into the courses they teach. Finally, the entire School Counseling and Clinical Mental Health Counseling curriculums were reviewed in their entirety by CACREP during the 2012-2013 academic year. The site visit team found that all CACREP curriculum standards were being fully met in the above-mentioned areas. This resulted in being reaccredited for eight years from 2014 to 2022. Our next challenge will be to begin revising the overall curriculum to meet 2016 CACREP standards, which are expected to be released during the 2014-2015 academic year. This will be the focus of a retreat during the 2014-2015 academic year once the final version of the 2016 standards is released. Changes to the curriculum will be forthcoming as a result of this retreat.

The ASLO process at Cal U is cost-effective. Programs at Cal U are encouraged to use a balance of created assessments (which are financially cost-effective since they are free) and published measures (such as the ETS Field Tests, which are time-saving for faculty). Since each program is encouraged and assisted in identifying the measures that might best yield useful data, it is believed that this approach to measurement selection is the way to address "utility" (which is

"cost-effectiveness" in measurement parlance). Using program-created and selected measures maximizes data outcomes while minimizing the efforts to acquire the data.

The ASLO process at Cal U is reasonably accurate and truthful. The University requires programs to submit data from two different measures for each learning objective that is assessed in a given year. While one of those measures can be indirect (e.g., a student self-report of amount and/or type of learning achieved), there must be at least one measure that is a direct measure of student learning (e.g., rubric evaluated material, field test scores, or internship supervisor ratings on a behavior-anchored rubric). The University requires programs to address the following psychometrics on each of their measures used (depending on type of instrument): inter-rater reliability (for rubrics), appropriate reliability (i.e., internal consistency) for exams, and appropriate validity data (i.e., content validity for field tests). Reliability is an indicator of accuracy and validity is an indicator of truthfulness. When this information is not included or is reported at a less-than-desirable level, the ASLO Committee encourages, in its feedback, the program to revise the instrument, select a "better" one and/or train the raters on using the rubric. These actions help ensure the data used to revise programs is reliable and valid.

The ASLO process is planned, organized, systemized and sustained at Cal U. The chart below outlines the ASLO timeline which has been in place since 2000. Over the years, several enhancements to the process have been made, including the use of Desire to Learn (D2L) for communication and recordkeeping. During 2014-2015, members of the faculty and administration reviewed the use of LiveText and TracDat to enhance and sustain the ASLO process. More specifically, the faculty and administration explored the elements of measurement, management of and access to data, and report submission while consulting representatives from LiveText.

Provided in Appendix S6 is a sample of a completed ASLO year-end report.

ASLO Time Line (dates are approximate, depending on the term and year)	
August 26	Associate Provost requests "Year-End Reports" for every program housed in academic departments. Each department has a faculty member designated as a Program Facilitator (sometimes for all programs, sometimes for each program). This/these individual(s) coordinate(s) all assessment of student learning outcomes (in collaboration with other department faculty) to produce the annual "Year-End Report."
September 30	Program ASLO reports due to D2L shell.
December 15	ASLO Committee reviews the reports based on a rubric (Appendix S4). At least two of the eight members of the ASLO Committee review a report, as well as a graduate assistant. (Inter-rater reliability of the rubric among these raters is checked periodically and ranges from .51 to .75). The ASLO Committee meets at the end of fall term and decides, as a group, on each report's final rating.
February 15	Feedback from ASLO Committee members is compiled into a feedback letter that contains the committee-agreed-upon rating and is sent to the Program Coordinator and the Department Chair.
April15	Academic Affairs releases funds to departments, based on their ASLO ratings. The funds serve as a reward for the departments' ASLO efforts.
All year	College Coordinators advise and guide Program Facilitators on all aspects of the Year-End Reports.

The following documents are included in Appendix S.

Document		Serves as evidence of
S.1.	ASLO Handbook	
S.2.	Year-End Report Guidelines	Organized and sustained Assessment process
S.3.	Year-End Report Checklist	Organized and sustained Assessment process
S.4.	Year-End Report evaluation rubric	
S.5.	Feedback Letter	
S.6.	Sample Year End Report	• Clear statements of key goals and expected student learning outcomes • Cal U students achieving key institutional and program goals • Uses of assessment results to improve programs and advance Cal U's effectiveness

5.4 Support for assessment of institutional effectiveness and student learning

As documented in the December 2013 Progress Report and Section 3 of this report, the University has experienced major changes in leadership since the 2010 decennial review. Over 75% of the senior administration of the University has changed since 2012. Significantly, three key assessment administrators (director of continuous improvement, director of institutional research, and director of student learning outcomes) are no longer with the University. Even with these changes, institutional assessment activities continue to be conducted. The University hired a director of institutional research in April 2013; his office coordinates institutional data such as

system performance assessments and enrollment trends. Student learning assessment activities are the responsibility of Associate Provost Caryl Sheffield and Associate Provost Dan Engstrom. Finally, the office of continuous improvement is now under the umbrella of institutional research.

The newly created position of <u>Associate Provost for Institutional Assessment and Accreditation</u> is crucial to the institutional assessment process at Cal U (see Appendix F for job description). One element of the effort to further stabilize upper-level management, the position will report to the Provost and will serve as the administrator in charge of assessment of university effectiveness, assuming many of the responsibilities previously assigned to the departed administrators. While the associate provost will be involved with steps one and two of the four-step planning-assessment cycle (developing key institutional and unit level goals and designing intentional objectives or strategies), the major responsibilities lie in steps three and four: coordinating the assessment activities that measure the achievement of the key goals, and managing the process of using the results to improve programs/services and linking the results to ongoing planning and resource allocation. The position will be filled in Fall 2015 through a national search. For the time being, Associate Provost Caryl Sheffield, who will retire in June 2015, and Associate Provost Dan Engstrom are coordinating institutional assessment activities.

SECTION 6: LINKED INSTITUTIONAL PLANNING AND BUDGETING PROCESSES

As noted in Section 5 of this Periodic Review Report, institutional assessment and financial decision-making are tied directly to the University strategic plan. Cal U is operating on an extension of the 2009-2012 strategic plan as it develops a new strategic plan.

Cal U's budget process is described in Section 3, Major challenges and/or opportunities, and in Section 4, Enrollment and finance trends and projections.

The University uses a formal process that links planning and budgeting to the strategic plan as depicted in the graph below:

California University of Pennsylvania
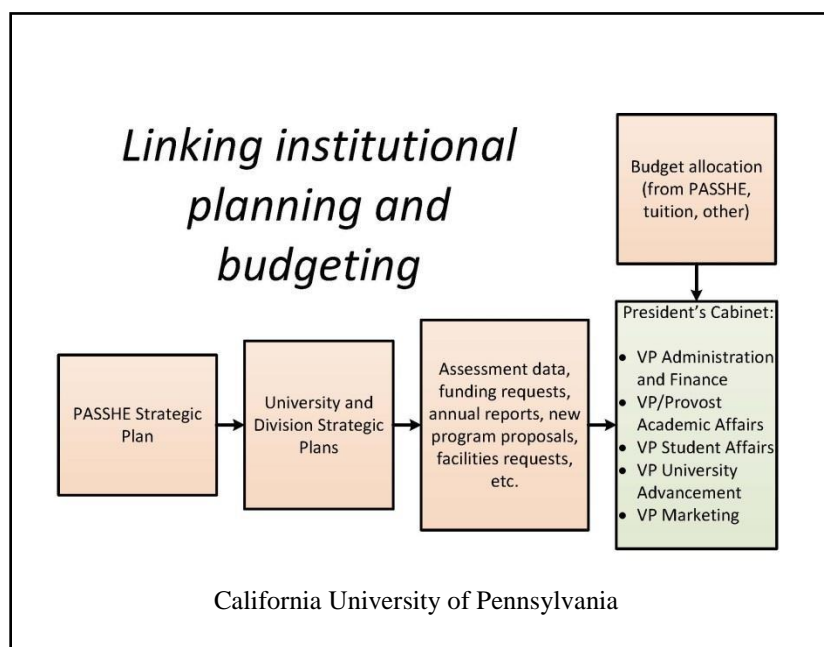
The University's strategic plan is aligned with the PASSHE strategic plan and integrates several subordinate plans, such as the Academic Affairs strategic plan, Student Affairs strategic plan, undergraduate and graduate strategic enrollment management plans, facilities master plan, and technology integration plans. Divisions and other operational areas develop these subordinate plans, and the plans contain goals, objectives, assessment methods and criteria for assessment, which are aligned with the goals and objectives of the University strategic plan. As an example, see Appendix T for the Academic Affairs strategic plan.

The President's Cabinet is the decision-making hub linking planning and budgeting. University revenues come from several sources, but primarily, from tuition and from funding

from PASSHE. Sections 3 and 4 of this report explain the University's financial challenges because of declining enrollment as the number of high school graduates dips and as state funding decreases.

The President's Cabinet, particularly the vice president for administration and finance, begins the budget allocation process once the University's revenues are determined. Each vice president receives a budget amount based on such factors as the University strategic plan and the previous year's spending. These division heads, in turn, distribute funds to their units; the amount of money that each unit receives is based on a review of strategic plan assessment data, such as annual reports, program accreditation self-studies, five-year program reviews, enrollment trend data, alumni surveys, and program enrollment.

The proposed Budget and Planning Committee of the new shared governance model, described in Section 4, will further help facilitate the linkage between budget allocation and the strategic plan. The principal responsibilities of the committee are 1) aligning the university strategic plan with the university budget; and 2) establishing short and long term funding priorities that support the strategic plan and goals of the university.

Following are examples that demonstrate the linkages between assessment, planning, and budgeting at division, unit and program levels.

6.1 Division level assessment, planning, and budgeting

The funding of the Center for Undergraduate Research is an example of how the link between planning and budgeting works at the division level. As described in the December 2013 Progress Report, the National Survey of Student Engagement (NSSE) is one of the assessments for Goal 1 of the University's strategic plan, which is, "to continue to increase university academic excellence at both the undergraduate and graduate levels."

Cal U's response to the NSSE assessment data is detailed in Section 5. To summarize, several innovations, aligned with strategic plan Goal 1, were implemented. For example, the Center for Undergraduate Research (CUR) was funded for the 2014-2015 fiscal year (July 1, 2014-June 30, 2015). The CUR annual report is included in Appendix U.

The opening of the Office of International Programs and hiring of a director who assists with such diversity/global learning projects as study abroad is another example of the linkage between division level assessment, planning, and budgeting.

6.2 Unit level assessment, planning and budgeting

At the unit level, an academic department will submit an annual report in which a request is made for accreditation funds. Accreditation funds are resources that are earmarked for those programs which have achieved specialized accreditation or program approval by a national body (for example, the Council on Social Work Education, American Chemical Society) or are seeking specialized accreditation. Accrediting organizations want to see links between planning, assessment, and program improvements. Resources are used to pay for accreditation dues/fees, travel to local and national meetings, curriculum updates, and other requirements as required to maintain accreditation. The accreditation fund requests are discussed at the annual Deans/Provost retreat where a decision is made about the appropriate allocation.

As another example, each area in Student Affairs completes a five-year program review following the cycle in Appendix V. The program review is an assessment for Goal 2 of the strategic plan: to continue to enhance the quality of student life. Student Affairs utilizes the Council for the Advancement of Standards (CAS) in Higher Education self-assessment guides (SAG) to conduct their reviews. If a particular program review results in recommendations for increased funding, as in the office of Multicultural Student Programs and Services (MSPS) review described in Section 5 above, the department will make a request for additional funds to the vice president of student affairs for consideration during the Student Affairs budgeting process.

6.3 Program level assessment, planning and budgeting

The development of a new Bachelor of Science Degree in Mechatronics Engineering Technology demonstrates the link between planning and resource allocation at Cal U at the program level. Aligned with strategic plan goal 1 (to continue to increase university academic excellence at both the undergraduate and graduate levels), the mechatronics program was proposed following an assessment that identified a need for graduates of the proposed mechatronics engineering technology program in several economic sectors across the Commonwealth (see Appendix W). The program was approved by the Cal U COT in December 2011 and the state system PASSHE BOG in April 2012. The program budget was approved by the President's Cabinet in September 2012; labs and other equipment were purchased to prepare for the first class of students in the fall 2013. A new tenure-track faculty member was hired to

start in fall 2013. As required of all academic programs at Cal U, the Mechatronics Engineering Technology program will participate in institutional assessment activities such as annual reports, general education assessment, and assessment of student learning outcomes, and will be seeking national accreditation in the future.

Section 5 of this report provides additional examples of how strategic plan assessment data are used for budget allocations.

CONCLUSION

California University of Pennsylvania is pleased with the positive changes that have come about since the 2010 decennial evaluation. We have made tremendous progress in the critical areas of shared governance, strategic planning, and general education. The shared governance plan has been approved by Interim President Jones and is awaiting Council of Trustees approval. The new strategic plan is being developed; it will be ready for implementation during the 2015-2016 academic year. The new General Education assessment of student learning program is operational, with the first cycle of assessments taking place in the spring 2015 semester.

Other major improvements include a more formal and rigorous assessment system that links planning and resource allocation and a newly created associate provost position for institutional assessment and accreditation functions.

We look forward to the 2015 decennial evaluation, and we are certain that we will continue to make progress.