University of Iowa
Assurance Argument

Prepared for the university's Comprehensive Review and institutional accreditation site visit on March 25-26, 2019

accreditation.uiowa.edu

Preparation of the Assurance Argument and supporting evidence documents

This Assurance Argument was prepared by a team of five writers, one of whom started the process by reaching out to faculty members, staff, and administrators throughout the university to collect materials related to each of HLC's five criteria for accreditation. These materials provided the substance of this Assurance Argument and the majority of supporting evidence documents.

After putting these materials together into a single document, the writing team convened a series of campus Feedback Forums that included faculty and staff members, academic leadership, and students. After feedback from these sessions was incorporated, the revised document was reviewed by a campus-wide team of 30 faculty, staff, and campus leaders, and finalized based on their input.

HLC Peer Reviewers are able to access the Assurance Argument online within HLC's secure electronic portfolio system, along with a pdf collection of nearly 600 supporting documents provided by the university as evidence for the claims made in the Argument. The accumulated supporting documents would print out to approximately 9,000 pages if materials were submitted in hard copy.

This copy of the document provides the full text of the Assurance Argument that was made available to Peer Reviewers, but links to the evidence file documents are accessible only within HLC's secure system.

HLC's five criteria for accreditation serve as the table of contents for the document. More information about the criteria and procedures for university accreditation can be found at accreditation.uiowa.edu.

Executive Summary

This summary provides an overview of the university's Assurance Argument, prepared in support of the university's upcoming institutional accreditation review and site visit by the Higher Learning Commission (HLC) on March 25-26. The full document addresses ways in which the university meets HLC's five criteria for accreditation. More information about HLC criteria and procedures for accreditation can be found at accreditation.uiowa.edu.

Criterion 1 - Mission

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

The university serves the state of Iowa, the nation, and the world through its threefold mission of teaching, research, and public service. Foundational to success across all parts of that mission is the commitment to achieving "excellence through diversity." The strategic plan, which articulates areas of focus and emphasis within the broader mission, provides a framework to guide decision-making across the university.

The core mission, strategic priorities, and commitments to diversity, inclusion, and the public good are communicated in myriad ways to students, faculty, staff, and the public, and enacted through direct public services, active community engagement, and integration across academic and co-curricular experiences. Campus-wide initiatives during the last decade have made it an institutional priority to broaden and deepen commitments in these areas and to increase both the quality and the coordination of efforts to support student success, to create a more equitable and inclusive university community, and to advance university outreach and public engagement.

Criterion 2 - Integrity: Ethical and Responsible Conduct

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

The university establishes and enforces policies that enact its commitments to freedom of expression, pursuit of truth, and integrity in all its practices. The university provides oversight and institutional resources to support both the quality and the integrity of research and scholarly work, and provides students with education and guidance in ethical and responsible uses of information.

Established university policies and practices uphold ethical and responsible conduct in academic, financial, personnel, and auxiliary operations. The university demonstrates the integrity of its operations by regularly reporting to the state-appointed Board of Regents, other state and federal regulating bodies, and accrediting agencies, and by transparently representing its programs, requirements, faculty, staff, costs, and accreditation relationships to students, faculty, staff, and the public.

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

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

The university maintains systematic support and oversight for programs that offer high-quality education, first and foremost through a commitment to supporting its faculty and staff. Through their leadership of programs and new initiatives, oversight of curricular and co-curricular offerings, participation in shared governance, and ongoing scholarly and professional development, faculty and staff develop and maintain a wide variety of educational opportunities that support student success and challenge students to excel.

Criterion 4 - Teaching and Learning: Evaluation and Improvement

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

The university maintains responsibility for the quality of educational programs through a variety of integrated, complementary systems, including:

- o   Regular comprehensive reviews of departments, colleges, and co-curricular programs.
- o   Unit-based annual updates on teaching, learning, and continuous improvement in academic and co-curricular programming.
- o   Cross-unit assessment of General Education and high-stakes gateway courses, first-year experiences, and transition to college.
- o   Regular monitoring of student engagement, success, and post-graduation outcomes.

Through sustained implementation of these distributed systems, the university maintains commitment to systematic collection and use of assessment evidence by the units that are directly responsible for assuring program quality and making decisions about future program development.

Criterion 5 - Resources, Planning, and Institutional Effectiveness

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

The university remains in a strong financial position to support its mission and operations, after navigating the significant physical and fiscal challenges posed by the historic flood of 2008 and steadily declining state appropriations. The university works to allocate resources effectively through Strategic Planning processes, which seek broad input from the university community approximately every five years, and the "Path Forward" strategic plan implementation process, which is continual and rooted in shared governance.

Through these processes, the university prioritizes areas of emphasis within its broader mission and implements strategies that respond to current and emerging challenges and opportunities. With its newly implemented budget model, the university expects to facilitate more effective planning, increase transparency, encourage collaboration, and ensure that academics are at the center of the resource allocation decision-making process.

Introduction

The University of Iowa is in many ways a different place than it was the last time HLC peer reviewers visited. Just a few weeks after the 2008 site visit, the Iowa River substantially overflowed its banks and rendered nearly one-sixth of the campus unusable. When flood waters receded, many classroom buildings, much of the Arts campus, and locations for core student services (such as the Iowa Memorial Union and the Main Library) needed to be substantially renovated or entirely rebuilt. Thanks to the extraordinary efforts of the university community, classes opened on schedule the following fall, with arts faculty distributed in studio, rehearsal, and performance spaces throughout the city and all other academic and student life programs ready to welcome new and returning students.

In the years that followed, the university has celebrated the rebuilding and re-opening of flooded buildings and major renovations to the Union and Main Library. Even during this recovery period, the campus continued to develop, with improvements to facilities used by each of the university's 12 colleges and the building of two new student residence halls. Throughout these building and renovation efforts, the university has continually sought to increase opportunities and resources for students and to provide state-of-the-art facilities for furthering the institution's threefold mission of research, teaching, and service.

During this time, the student population has increased in size, diversity, and levels of academic achievement, and retention and graduation rates have steadily improved. These increased rates of student persistence and completion have followed campus-wide efforts to engage students in academic success initiatives, provide increasingly coordinated support for students by faculty and staff, and maintain systematic integrated assessment throughout programs as a basis for ongoing continuous improvement.

All these changes occurred during a time when significant financial challenges have required the university to be continually on the lookout for ways to maintain excellence and affordability in the face of steadily declining state appropriations. The university now receives less financial support from the state of Iowa than it did in 1998 – in nominal dollars, not adjusted for inflation – and yet has managed to keep tuition rates second lowest in the Big Ten and lowest among AAU peers.

Looking back to the 2008 HLC Site Visit report, we see many areas for improvement identified in Visit Team recommendations that have been transformational for the university during the last decade:

- Placing student success at the center of the university mission, strategic planning, and programming, especially during the critical period of student transition to college and throughout their first year
- A sustained emphasis on assessment and continuous improvement of academic and co-curricular programs
- More extensive and integrated faculty development
- Systematic efforts to learn more about the experiences of graduates
- Greater transparency and cross-unit collaboration in campus planning

As the Assurance Argument shows, efforts in these areas have greatly contributed to making the university what it is today, and helped prepare the university to take on new challenges that have arisen since the last review.

Criterion 1 - Mission

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

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

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

The university's core missions are teaching, research, and service.

Upon founding the university in 1847, Iowa's first legislature entrusted it with a threefold mission of teaching, research, and public service. The university continues to carry out those core missions as one of the nation's premier public research universities, serving 33,000 students from 110 countries and all 50 states. It is one of a small number of universities nationwide to offer a full range of academic programs on a single campus, including arts and sciences, a range of professional programs, and health sciences.

The university mission statement articulates in broad terms how the university will carry out its core missions of teaching, research, and service in the context of the current cultural environment. It is reviewed approximately every five years as part of university strategic planning. The current mission statement is:

> *In pursuing its missions of teaching, research, and service, the university seeks to advance scholarly and creative endeavor through leading-edge research and artistic production; to use this research and creativity to enhance undergraduate, graduate, and professional education, health care, and other services provided to the people of Iowa, the nation, and the world; and to educate students for success and personal fulfillment in a diverse world.*

This statement aligns with the statutory mission of the university as established by the state of Iowa and defined in the Iowa Administrative Code:

> *The University of Iowa is a comprehensive public university with the mission to provide the highest quality undergraduate, professional, graduate, and continuing education and patient care. To fulfill this mission, the university engages in teaching; research; professional, public, and clinical services; and appropriate extension.*

The charge of the university (which is sometimes referred to as the State University of Iowa in historical and legislative documents) is further defined in the Policy Manual of the Board of Regents:

> *As an AAU institution, the State University of Iowa is recognized as having a broad scope of programs, including graduate and professional colleges. As essential components of a distinguished state university, such programs shall include the full complement of undergraduate liberal arts and sciences courses, graduate and professional programs in law, medicine, dentistry, pharmacy, nursing, public health, engineering, and allied fields related to those professional disciplines, as well as social work, business administration, journalism, education, library science, and urban and regional planning .... Graduate programs shall be made available in*

areas for which there is sufficient demand and resources and shall build on the University's strengths in the arts and humanities, life sciences, law, medicine, and international programs.

The university prioritizes areas of emphasis within its mission and refines its mission statement as appropriate through periodic, broadly inclusive strategic planning processes.

During the last decade, the university has developed and been guided by two strategic plans — both identifying strategies to advance excellence in each area of the mission, and both developed with broad campus participation. As described in 5.C, it is through these strategic planning processes (and ongoing review of strategic plan priorities and progress) that the university ensures it is carrying out its core missions in ways that respond to challenges and opportunities in the current environment.

The 2010-2016 strategic plan, *Renewing the Iowa Promise*, was founded on the work of six task force groups comprising some 80 faculty and staff, as well as campus feedback received at open forums and via e-mail and other communications to task force members. The 2010-2016 strategic plan reaffirmed the mission and defined four strategic priorities, or "pillars," for accelerated advancement: student success, knowledge and practice, new frontiers in the arts, and better futures for Iowans.

Development of the 2016-2021 strategic plan was led by a Strategic Plan Development Group (SPDG), convened jointly by the provost and the vice president for student life. SPDG members -- including faculty, staff, and students -- were charged with creating a plan that was focused, responsive to the current environment, and inclusive of broad feedback from the university community. As described in 5.C, the group used a "hub and spoke" model, with SPDG members at the center having responsibility to reach out to constituents and interest groups and bring feedback to the larger committee. This process led to participation and input from a broad range of individuals and groups. The 2016-2021 plan reaffirmed the existing (2010) mission statement and prioritized building upon three of the pillars identified in the 2010-2016 plan (excluding "new frontiers in the arts," which had been prioritized in the previous plan because of the need to recover from extensive flood damage to the arts campus in 2008).

In developing its institutional strategic plan, the university ensures that its priorities are consistent with the Regents' strategic plan, which affirms the Regents' commitment to work through Iowa's public universities to promote "learning that empowers excellence," "research that increases innovation," "service that fulfills public purpose," and "civic responsibility that enhances quality of life."

Strategic plans were approved by the Board of Regents (in September 2010 and December 2016, respectively), in accordance with the Regents' responsibility to oversee Iowa's public universities (as noted in Chapter 4.1.A.iv of the Board Policy Manual).

In accordance with their responsibilities for monitoring progress toward strategic goals, implementation of university policies, and approval of academic programs, the Regents receive governance reports from the university on a broad range of topics throughout the year (many mentioned elsewhere in this Assurance Argument). Through this reporting the Regents ensure the university is performing in accordance with its mission and progressing appropriately toward its stated goals.

Colleges report to the provost annually on progress within their units related to the university's planning goals. Current strategic plans for the colleges of Liberal Arts and Sciences, Public Health, and Dentistry illustrate ways in which colleges articulate their distinctive missions and goals within the context of the university's larger mission and strategic plan.

Academic programs, student support services, and enrollment profile align with the university's mission.

Academic Programs

In accordance with its statutory mission as "a comprehensive public university with the mission to provide the highest quality undergraduate, professional, graduate, and continuing education and patient care," the university offers undergraduate, graduate, and professional degree programs, as well as certificates and licensure/endorsement programs, through 12 colleges: Business, Dentistry, Education, Engineering, Law, Liberal Arts and Sciences, Medicine, Nursing, Pharmacy, and Public Health, as well as the Graduate College and University College (see 3.A). All degree and certificate programs are described in detail in the General Catalog.

Academic departments and colleges submit proposed program additions or changes to the executive vice president and provost; recommendations then go to the Regents for review and final approval. Proposals must identify the new program's "relationship to the institutional mission and how the program fits into the institution's and college's strategic plan." The Board of Regents requires review of all academic programs on a seven-year cycle, and an annual report on programs reviewed (see 4.A).

Consistent with its engagement mission and commitment to create learning opportunities for place-bound Iowans, the university is offering a growing number of distance and online courses and degree programs. In 2017-18, the university offered 81 distinct certificate and degree programs via distance education, with more than 41,000 total course enrollments.

Student Success

Student support services are vital to promoting student success, which has been one of the "pillars" of the university's strategic plans throughout the past decade. The university has invested in personnel and infrastructure by creating a number of new units and positions in support of student success, including the Office of Assessment, the Office of Academic Support and Retention, the associate director for assessment and strategic initiatives in the Division of Student Life, and professional advisors in College of Liberal Arts and Sciences departments. These offices have provided leadership for numerous initiatives to advance this strategic priority, which are described in sections 3.D, 3.E, 4.B, and 4.C.

Graduate student success initiatives include reorganized offices of Academic Affairs (AAO) and Graduate Development and Postdoctoral Affairs, which work in concert to meet the academic and professional development needs of graduate students in partnership with departmental programs and other campus student support offices.

Over the past decade the university has made significant investments in state-of-the-art learning spaces to support student success, including several technology-enriched active learning classrooms (described in 3.D). In 2013 the university opened the Main Library Learning Commons, a 37,000-square-foot, 24-hour, technology-rich study space and academic help center. Another learning commons, incorporated into the post-flood renovations of the Iowa Memorial Union (IMU), opened in 2015.

The university is also committed to reviewing the effectiveness of student success programming and making changes as warranted. For example, in 2013 the university began piloting the Summer Hawk Tuition Grant, offering resident students a full tuition scholarship for one summer (and non-resident students tuition at the resident rate for one summer), with the goal of improving four-year graduation rates. The program was discontinued after the four-year trial period, when it was determined that it was not making a significant difference in four-year graduation rates, and the overall impact was not sufficient to justify the program's cost.

The university's continued focus on undergraduate success during the last decade has yielded positive outcomes in the form of increased retention and graduation rates, with 44.2% of the 2004 cohort graduating in four years (i.e., with the 2008 graduating class), increasing to 53.4% of the 2014 cohort graduating in four years (the 2018 graduating class).

See 4.B for information about increasing efforts in recent years to assess student academic engagement and success. The university's continuing commitment to supporting student success prompted the university to make this priority the focus of its HLC Quality Initiative (see 4.C).

Enrollment Profile

The university's enrollment reflects its mission as a public, research-intensive university with high-quality programs that attract undergraduate, graduate, and professional students from Iowa and far beyond. It also reflects ongoing commitment to increasing student diversity.

In fall 2018, the university enrolled 32,948 students, 72.8% of them undergraduate. The university draws 61.1% of its current undergraduate population from Iowa and an additional 26.2% from adjoining states. Students come from all 99 Iowa counties, all 50 states, 4 U.S. territories, and 109 foreign countries.

Fall 2018 Student Profile:

Undergraduate: 23,989

- 53.3% women
- 18.4% racial/ethnic minority
- 7.4% international
- 23.4% first-generation
- 16.4% transfer

Graduate students: 5,826

- 52.7% women
- 14.8% racial/ethnic minority
- 16.8% international

Professional: 1,841

- 49.9% women
- 23.5% racial/ethnic minority
- 1.7% international

Postgraduate: 1,292

- 41.2% women
- 27.6% racial/ethnic minority
- 21.4% international

Additional information about enrollment can be found in the Data Digest and in the fall 2018 Student Profile report.

In 2014, the university created the position of associate vice president for enrollment management to oversee university recruitment. This office has expanded the strategic use of data collection and analysis in strategies for recruitment and enrollment. It is also leading the evaluation of existing financial aid strategies and the development of a five-year enrollment management plan.

Aligning budget with strategic priorities is central to the annual budget process.

See 5.C for information about how the university works to allocate resources effectively to advance its teaching, research, and service missions.

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1.B. The mission is articulated publicly.

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

The university articulates its mission clearly and publicly.

The mission statement is publicly available on the [university web site](#), in its [Operations Manual](#), and in the [Policy Manual of the Board of Regents](#). The mission statement clearly articulates the university's responsibility to provide the highest level of undergraduate, graduate, and professional education, as well as health care. The statement also identifies the university's constituencies as the people of Iowa, the nation, and the world.

Beyond the formal mission statement, the institution's teaching, research, and service priorities are communicated, in whole or in part, to diverse constituencies on a daily basis in numerous ways, such as:

- student, faculty, and staff recruitment and orientation materials
- the "[IOWA Challenge](#)" to undergraduates
- training materials for departmental administrators
- [guidelines for promotion and tenure](#)
- reports to the Board of Regents
- [Iowa Now](#) articles published by Strategic Communications
- publications, web sites, annual reports, and communications of various university units.

Implementation of the university's mission is guided by its strategic plan, and refined through regular shared governance review.

The strategic plan provides a framework for the university and its units to build and maintain excellence across all aspects of the mission. The plan identifies strategies to accelerate advancement in strategically targeted areas and to take advantage of emerging opportunities, while maintaining and contributing to the high quality of core programs. The [current strategic plan](#) (2016-2021) identifies three strategic priority areas that derive from the university's mission:

1. Research & Discovery
2. Student Success, and
3. Engagement with Iowa and the World.

As required by the Regents, the university reports annually on progress toward its strategic planning goals. These [reports](#) are available on the web sites of the Office of the Provost and the Board of Regents.

Implementing the strategic plan: The Path Forward

Implementation of the 2016-2021 strategic plan is guided by the "Path Forward" process, which is designed to keep the plan a "living document" by ensuring regular review of priorities. The process is overseen by the Path Forward Steering Committee (PFSC), which is chaired by the interim executive vice president and provost and the senior vice president for finance and operations, and comprises leadership from shared governance.

The PFSC is organized around four work groups, each of which develops specific, actionable recommendations about how to accomplish the goals of the strategic plan, which they present to the president and other campus decision-makers. To focus their efforts, the PFSC and its work groups are developing annual work plans that include prioritized critical tasks, objectives, and tactics, and also identify campus individuals or entities responsible for carrying them out. The four work groups align with the three "pillars" of Student Success, Research and Discovery, and Engagement, and the cross-cutting priorities of Diversity, Equity, Inclusion, and Collaboration. The work plans emphasize activities that are achievable, measurable, and promote the university's vision and goals.

Sources

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

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

The university has a long tradition of leadership related to diversity.

When the university first opened in 1855, it became the first state university in the country to admit men and women on an equal basis. It was the first public university in the country to grant a law degree to a woman (1873) and to an African American (1879). Almost 100 years later, it became the first state university to officially recognize the Gay, Lesbian, Bisexual, Transgender, and Allied Union (1970), and the first public university in the country to offer insurance benefits to employees' domestic partners (1993). In 2012 it became the first public university to include optional questions about sexual orientation and gender identity on admission applications, and in 2016 it became one of the first in the nation to ask students their preferred names and pronouns of reference.

Mission, planning, and policy documents and other internal and external communications clearly articulate the university's commitment to "excellence through diversity."

Section 4.1.A.vi of the [Board of Regents Policy Manual](#) states, "the [Regent] universities shall maintain diverse and multicultural campuses to educate students and scholars to participate in the broader world and to strengthen the State of Iowa's connections with other states and countries."   In keeping with that directive, the [university mission statement](#) recognizes that we must "educate students for success and personal fulfillment in a diverse world."

As previously noted, the [2016-2021 strategic plan](#) establishes goals under three areas: Research & Discovery, Student Success, and Engagement. Cutting across each goal—and thereby underscoring the foundational importance of diversity to every part of the mission—are [strategies and critical tasks focused on improving diversity, equity, and inclusion](#) (DEI). These include specific strategies aimed at increasing the diversity of the faculty, staff, and student bodies; creating a more inclusive campus culture; and improving retention and graduation rates of first-generation, underrepresented, and nontraditional students.

In September 2017, the interim chief diversity officer convened the first DEI Leadership Forum to build on the goals outlined in the strategic plan and to initiate an institutional discussion of best practices and challenges related to improving diversity. Following this broad discussion, at the annual Update on DEI community event in January 2018, the [Chief Diversity Office](#) released a statement:

> *At the UI, we achieve Excellence through Diversity. The University of Iowa's status as a premier research university depends on the robust exchange of ideas. The diversity of our students, faculty, and staff helps us fulfill our mission to explore, discover, create, and engage. Thus, we are committed to supporting every Hawkeye's pursuit of excellence. As we enhance the breadth and depth of our perspectives, we purposefully prepare for our future. Our ability to foster an equitable environment for all who join the UI family will determine our collective success. We eagerly accept this challenge.*

The university also communicates its commitment to DEI through its statements on [nondiscrimination](#) (which aligns with the [Regents' nondiscrimination statement](#)), [accessibility](#), and [diversity](#), the last of which reads:

The University of Iowa values diversity among students, faculty, and staff, and regards Equal Employment Opportunity and Affirmative Action as tools to achieve diversity. The university believes that a rich diversity of people and the many points of view they bring serve to enhance the quality of the educational experience at the University of Iowa.

The university has successfully increased diversity among students, faculty, and staff over the last decade, though challenged by a relative lack of diversity in the state.

The state of Iowa's population is becoming more diverse, with all of the growth in population between 2000 and 2010 (and between the latter and the U.S. Census Bureau's 2017 population estimates) attributed to minority race and Hispanic categories. Nonetheless, Iowa remains one of the least diverse states in the nation, at 85.7% white (non-Hispanic) according to the U.S. Census Bureau's annual estimate as of July 1, 2017.

Underrepresented racial/ethnic minority (URM, any race/ethnicity other than White or Asian) students as a percentage of the total student body increased from 6.7% in fall 2009 to 14.2% in fall 2018, exceeding the current estimated minority population of the state (11.7%). URM faculty as a percentage of all faculty is lower (at 7.6%), as is the percentage of URM staff (7.4%).

Students

In [fall 2018](#), undergraduate domestic URM students totaled 3,402, or 14.2% of the undergraduate population. There were 1,768 international undergraduates, making up 7.4% of the undergraduate population. The percentage of female students was 53.3% (12,798 female students) for the undergraduate and 50.5% (4,523 female students) for the graduate, professional, and postgraduate population. Among graduate, professional, and postgraduate students, the percentage of domestic URM students was 13.6% (1,218 students) and of international students was 14.4% (1,288 students).

Faculty and Staff

The associate provost for faculty works with the chief diversity officer to monitor the recruitment and retention of women and racial/ethnic minority faculty. The Office of the Provost also makes available a comprehensive resource document, "[Faculty Search Committee Practices to Advance Equity](#)" (noted in 5.A).

In [fall 2018](#) the regular faculty (tenure, clinical, research, and instructional tracks) included 1,155 women (42.1%), and regular (not temporary) staff included 10,824 women (69.4%). Among the faculty, 106 (3.9%) were international, and 208 (7.6%) self-identified as URM (215/7.8% with international faculty included). The staff included 157 (1.0%) international employees and 1,136 (7.4%) who self-identified as URM (1,180/7.6% with international employees included).

The university demonstrates its commitment to diversity through robust leadership, programming, support, and communication.

In 2010, in order to strengthen and better coordinate efforts across all aspects of diversity, the university created the position of [chief diversity officer and associate vice president](#), with a dual reporting relationship to the president and to the executive vice president and provost. The chief diversity officer and associate vice president oversees three key diversity offices: [Equal Opportunity and Diversity](#), the [Diversity Resources Team](#), and the [Center for Diversity and Enrichment](#). In 2018-19, the title of this position is changing to associate vice president and director of diversity, equity, and inclusion – reflecting a deliberate paradigm shift to focusing on equity and inclusion in addition to diversity.

Commitment to diversity and inclusion is integrated into the curriculum for undergraduates. College of Liberal Arts and Sciences undergraduates who entered the university beginning in summer 2017 must complete a new General Education (GE) requirement in Diversity and Inclusion (see 3.B for information about the development of this requirement, which came about in part as a response to recommendations from student leadership). These courses are designed to develop students' recognition of their positions in an increasingly pluralistic world while fostering an understanding of social and cultural differences. Core GE requirements also include courses on International and Global Issues and on Values and Culture.

Through the associate provost and dean of International Programs, the Office of the Provost works to increase attention to international issues, facilitate international study and research opportunities, and widen the university's global perspective. In 2016, the International Programs Advisory Council -- with broad input from campus constituencies -- developed a strategic plan for internationalization university-wide, "Vision and Strategic Themes for Internationalization," with specific strategies tied to the strategic plan through focus areas of student success, creation and discovery, and engagement.

In 2017 the university received the prestigious Senator Paul Simon Award for Comprehensive Internationalization from NAFSA: Association of International Educators. The award recognizes colleges and universities that are making "significant, well-planned, well-executed, and well-documented progress toward comprehensive internationalization" and are helping to foster welcoming, globally connected communities.

DEI Priorities

At the January 2018 public DEI Update, the Chief Diversity Office identified four key priorities to guide the university's pursuit of excellence:

- assess and improve campus climate;
- increase retention and graduation rates of historically marginalized students;
- strengthen recruitment and retention of underrepresented faculty; and
- enhance communication and accountability for DEI efforts.

The 2018 Diversity at Iowa Report and the January 2019 DEI Update describe current efforts in each priority area.

Campus climate

The Charter Committee for Diversity (CCD) -- funded by the Chief Diversity Office, the Office of the Provost, and the Public Policy Center -- took the lead role in a dedicated effort to assess the campus climate for multiple stakeholder groups. CCD analyzed responses to climate-related questions in the 2013, 2014, and 2016 administrations of the undergraduate SERU survey (Student Experience in the Research University, described in 4.B) to produce the report, "Diversity, Equity, and Inclusion Among Undergraduate Students at the University of Iowa, 2013-2016."

Following this report, CCD worked with the Office of Assessment to add further campus climate questions to undergraduate and graduate student versions of the SERU survey in 2018. At the same time in spring 2018, CCD launched a parallel campus climate survey of faculty and staff. Professional students, post-docs, and fellows are taking a similar survey in spring 2019. Surveys of each segment of the campus population are paired with a series of listening sessions, inviting members of each constituency for more extended discussion of their perceptions and experiences related to campus climate.

Core goals of these data collection efforts include: developing a systematic understanding of climate at the university across segments of the campus population (faculty, staff, graduate and undergraduate students, professional students, and post-docs); establishing a baseline for measuring change in climate over time;

advancing work on strategic plan objectives and shaping future planning; and ensuring people of all social identities feel welcome and supported in their professional development and advancement. These data collection efforts will also play a central role in informing the development of the first DEI Action Plan (currently underway).

Student retention and graduation

The Diversity at Iowa publication (2017 and 2018) and the Division of Student Life Annual Report highlight several initiatives, programs, and services for marginalized students. Examples highlighted in the report include:

- Measuring Accessibility Points Plan and Standards (MAPPS) program - a program that sets high standards for accessibility on campus
- Inclusive Living Learning Communities (such as First-Generation; All In; and Young, Gifted, and Black)
- Being Black at Iowa Initiative - an initiative to increase retention of Black students
- Campus Inclusion Team - a team of staff members from multiple offices who are trained to provide support to students with concerns about DEI
- Center for Diversity and Enrichment units and programming - programs and activities that support the transition and ongoing success of underserved students
- Efforts by the Office of Graduate Inclusion to facilitate mentoring, community building, and other forms of support to help graduate students from underrepresented populations excel at Iowa

In 2017 the university formed the First Gen Task Force, a joint faculty/staff committee charged with mobilizing faculty and staff to more effectively support first generation students. The Task Force has developed resources, partnered with student government, and launched the First-Gen@Iowa initiative to raise awareness of first generation student concerns and support of the success of first generation students (see 4.C).

Faculty and Staff

Recognizing a need for proactive efforts to increase faculty diversity, in spring 2018 the Office of the Provost, Chief Diversity Office, and Department of Athletics announced a pilot initiative to support departments and colleges in the recruitment and retention of outstanding tenure-track faculty members of color. Also, in recognition of significant service demands and retention opportunities associated with ethnic studies units, the Chief Diversity Office implemented a pilot program to provide supplemental research, equipment, and travel support for faculty holding joint or complimentary appointments in African American Studies, American Indian and Native Studies, and Latinx Studies.

An Office of the Provost summary of 2018-19 efforts related to faculty DEI includes strategies related to recruitment, retention, and advancement.

As described in 5.A, in early 2016 the university charged a Talent@Iowa task force with finding ways to improve and streamline human resources functions across campus, including the effort to increase diversity and inclusion.

Faculty and staff recognize the importance of DEI as shown through participation in numerous training opportunities such as:

- LGBTQ Safe Zone Project - a campus-wide program that offers a visible message of inclusion, affirmation, and support to LGBTQ people in the university community
- Building UI Leadership for Diversity (BUILD) - a certificate program for faculty and staff to gain skills and become leaders in contributing to a welcoming and inclusive environment for all
- Building our Global Community - a certificate program for faculty and staff to gain skills and become leaders in serving the university's international community
- Implicit Bias training for search committees

The university is an institutional member of the National Center for Faculty Development and Diversity (NCFDD), an independent faculty development center dedicated to helping faculty succeed in the academy through mentoring, networking, workshops, and other resources.

Faculty and staff affinity groups also help address the needs and concerns of diverse groups. They improve climate and build relationships; serve as a liaison between diverse faculty, staff, students, and the university community; and support university recruitment, retention, and graduation efforts. These groups include the African American Council; the Council on Disability Awareness; the Council on the Status of Women; the Latinx Council; the Lesbian, Gay, Bisexual, Transgender, Queer Staff and Faculty Association; and the Native American Council.

Communication and Accountability

To track progress related to faculty and staff diversity goals, the Board of Regents requires an annual Equal Employment Opportunity and Affirmative Action Report. The university also reports to the Regents annually on its activities related to the College Bound and IMAGES (Iowa Minority academic Grants for Economic Success) programs, which support outreach to Iowa minority students.

As previously noted, the Chief Diversity Office provides an annual "Update on Diversity, Equity, and Inclusion" address, highlighting initiatives across campus and identifying areas needing focused improvement.

The Chief Diversity Office plans to implement a "DEI Collegiate Digest" that will enhance accountability for and communication about DEI goals, by tracking DEI progress across the institution. These digests will be developed in collaboration with the Collegiate Diversity Group (CDG), which brings together representatives from each college to address diversity issues. A web-based portal is planned, but as a first step, in fall 2018 colleges completed a survey of their activities. The CDO will conduct a mapping analysis on the survey results (to determine where there are gaps). Preliminary results were shared at the January 2019 community update.

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

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

The University of Iowa is a public, non-profit, state university with a mission to pursue teaching, research, and service for the benefit of the people of Iowa, the nation, and the world.

The university does not have any fiduciary responsibility to generate returns for investors. The Board of Regents ensures accountability for the university's use of state and other financial resources.

Goals, strategies, and critical tasks under each of the strategic focus areas of the 2016-2021 strategic plan reiterate the university's commitment to serve the public good:

- Student Success: Educating students to become engaged citizens and leaders in their communities.
- Research and Discovery: Confronting scientific and societal challenges in the 21st century.
- Engagement: Broadening education, improving health, and enhancing economic development statewide and beyond.

Strategies to advance engagement include enhancing the university's statewide visibility and increasing access to university expertise, creating lifelong learning opportunities that broaden the university's reach across Iowa, expanding health partnerships, and supporting the translation of intellectual work into applications to enhance economic development.

As described in 5.A, strategic planning and budgeting processes ensure that resources are invested in the university's core missions and strategic focus areas.

The university's public engagement mission is advanced through academic units, UI Health Care, entrepreneurship and business development activities, technology transfer, museums and performance venues, and a wide range of other units and activities across campus.

Health Care

For many Iowans, the most visible and important way in which the university touches their lives is through health care. During FY 2017 the enterprise admitted 36,019 acutely ill patients and recorded more than 1 million total clinic visits at UI Hospitals and Clinics. The Stead Family Children's Hospital served almost 94,000 patients from all 99 counties in Iowa, every other state in the U.S., and many other countries.

The College of Dentistry, in addition to on-campus dental clinics that serve about 9,000 patients each year, offers outreach programs that focus on pediatric and geriatric dentistry and other special needs patients; the Geriatric Mobile Dental Unit, for example, brings quality dental care to place-bound elderly adults.   In FY 2017 the college had 27 outreach programs that served 96 Iowa counties.

As an integral part of the Nursing curriculum, College of Nursing faculty members provide clinical services at the UI Hospital and Clinics and also through businesses and consultation services developed as part of the faculty practice plan. Faculty members in the College of Pharmacy's Division of Applied Clinical Sciences oversee and provide clinical services at residency sites across eastern Iowa. Faculty in the College of Public Health staff the Occupational Medicine Clinic, which provides diagnostic testing services and care for patients with work-related health problems.

Technology Transfer

Another way in which the university touches the lives of Iowans on a large scale is through economic development and technology transfer. As stated in the Board's summary of the most recent annual governance report to the Board of Regents on economic development and technology transfer (November 2018), Iowa's public universities collectively impact economic development in three primary ways:

1. Offering research-based expertise and business assistance directly to Iowa's people, industry and communities in all 99 counties.
2. Conducting academic research that results in intellectual property, discoveries, and innovations available to business, industry, and the marketplace.
3. Educating Iowa's workforce.

Highlights of economic development activity in FY 2018 included:

- 143 new intellectual property disclosures, 153 patent applications and 74 new patents, and $1.72 million in royalty and license fee income.
- 41 companies housed in the UI Research Park (UIRP), a world-class business incubator program that has nurtured more than 100 start-ups and other new ventures since its founding.
- 35 companies supported by UI Ventures, which assists university inventors in creating new ventures based upon their research.
- 244 start-up companies served by the John Pappajohn Entrepreneurial Center (JPEC), which provides consulting and training services to Iowa-based technology and high-growth start-up companies.
- JPEC also offers nationally recognized comprehensive entrepreneurial education programs to Iowans, with about 19,000 participants across all programs in FY 2018.

Representative examples of other engagement activity

- *Arts and Humanities*. The university brings art, music, theatre, and literature programs to the community, through performances (e.g., programs offered by the Division of Performing Arts and Hancher Auditorium), as well as readings, lectures, museums, and other venues. As part of its Faculty Cluster Hire initiative, the university created hiring clusters focused on "Public Digital Arts" and "Public Humanities in a Digital World," and launched the Digital Scholarship & Publishing Studio to assist researchers in bringing their research to the public.

- *Research and Education Centers and Resources*. The interdisciplinary Larned A. Waterman Iowa Nonprofit Resource Center (INRC) conducts research and collaborates with government agencies, nonprofit organizations, and other educational institutions to educate and strengthen nonprofits in Iowa. The Iowa Electronic Markets (IEM), operated by faculty in the Tippie College of Business, are small-scale, real-money futures markets in which contract payoffs depend on economic and political events such as elections. Since the program's inception in 1988, IEM has been used by more than 100 universities around the world to teach concepts related to business, economics, political science, and technology.

- *Public Health*. College of Public Health-based centers and programs such as Worksafe Iowa, the Injury Prevention Research Center, the Great Plains Center for Agricultural Health, the State Health Registry of Iowa, the Health Equity Advancement Lab (HEAL), and many others contribute to healthier communities in all Iowa counties. The State Hygienic Laboratory (SHL) tests the environment to provide air and water quality data, screens for diseases such as West Nile Virus, and screens newborns for abnormalities (SHL provided newborn screening for nearly two-thirds of today's Iowans). The SHL is central to the state's terrorism and emergency response plan.

- *Clinical Service.* College of Law students, supervised by full-time faculty members, provide legal services to Iowans through the College of Law's Legal Clinic and the Citizen Lawyer Program. Through the Seashore Clinic in the Department of Psychological and Brain Sciences, graduate students (under close supervision by clinical faculty and staff psychologists) offer counseling services for individuals in the community, with fees based on a sliding scale and no one turned away because of inability to pay. The Wendell Johnson Speech and Hearing Clinic in Speech Pathology and Audiology offers assessment and therapy for individuals with communication disorders. The Assessment and Counseling Clinic (ACC) of the College of Education's Belin-Blank Center for Gifted Education and Talent Development is dedicated to providing clinical, outreach, and consultation services for gifted individuals, their families, and schools.

- *Sharing Knowledge and Expertise.* The Iowa Testing Programs (ITP) in the College of Education develop standardized achievement tests for national use in grades K-12, and administer statewide achievement testing programs for Iowa schools. The Iowa Small Business Development Center provides businesses with research, counseling, and assistance on special projects. The Iowa Flood Center's Iowa Flood Information System (IFIS) provides flood condition information to more than 1,000 communities.

- *Resources for K-12 Education.* Programs for K-12 students include campus tours, arts workshops, music camps, sports camps, other summer camps and residential programs, international programs, and training for high school teachers. College of Education faculty engage in many individual outreach projects that support K-12 education in Iowa. The Jacobson Institute in the Tippie College of Business offers a variety of programs and resources to help teachers and community partners equip K-12 students with innovation and entrepreneurial skills. The Center for Diversity & Enrichment, one of the pillars of which is K-12 Pipeline/College Access, sponsors and facilitates numerous K-12 initiatives.

- *Adult, Continuing, and Distance Education.* The university offers credit and non-credit courses and programs at sites around the state or online through Distance and Online Education, in partnership with colleges and academic units. The Continuing Legal Education (CLE) program in the College of Law and the Continuing Medical Education (CME) program in the Carver College of Medicine help professionals keep their expertise current and support the university's commitment to lifelong learning. In fall 2017, the university piloted a program that brought a series of short courses, taught by volunteer university educators, to adult students currently incarcerated at the Iowa Medical & Classification Center (Oakdale) in Coralville, Iowa; in spring 2018 the Liberal Arts Beyond Bars (LABB) program was expanded and students began earning credit for participation.

- *Student engagement.*   Students are an integral part of many of the university activities described here. In addition, many students are involved in community service through independent volunteering as well as structured programs. The Extending the Classroom Report indicates that 28% of graduating seniors report participating in community-based service learning during their time as undergraduates. Among respondents to the Student Experience in the Research University (SERU) survey (see 4.B), 56% indicated that they participated in some form of volunteering or community service during the academic year. The Pomerantz Career Center, which invites students to log community involvement through its online recruiting system, reports more than 36,000 hours dedicated by undergraduates to volunteering, alternative spring breaks, service learning, philanthropy, and related activities.

The Office of Outreach & Engagement fosters coordination of outreach and engagement efforts across campus.

In 2013, the university established the Office of Outreach & Engagement (OO&E) within the Office of the Provost—becoming one of the few universities among our peers to elevate the importance of engaging communities to an upper level of central administration. The strategic plan identifies OO&E as the hub of community engaged research, teaching, and service.

The office's mission and vision clearly indicate its commitment to serving the public good:

> **Mission:** *The University of Iowa Provost's Office of Outreach & Engagement grows mutually beneficial partnerships and enhances curricular efforts by connecting faculty, staff, and student resources of the university to the people and places across Iowa to positively impact community issues and opportunities.*

> **Vision:** *The University of Iowa Provost's Office of Outreach & Engagement seeks to be a catalyst for innovative teaching and learning at the university, transforming communities throughout Iowa, and preparing students to be global citizens.*

With this office acting as a hub of interdisciplinary work involving all of the university's colleges and units, the university seeks to create mutually beneficial partnerships by matching the expertise of faculty and students with community partners. The office works closely with community partners to create tailored project strategies based on evolving needs. OO&E breaks down collegiate and unit silos, and focuses on producing research of significance and delivering engaged learning based in real-world experiences. The office creates an infrastructure that expedites travel to communities, assists in preparation of grant applications, and helps implement successful grants within community settings. OO&E provides a searchable database of outreach and engagement programs across campus. OO&E also directly oversees several core ("featured") programs, including:

Arts Share coordinates free or low-cost workshops, performances, readings, and public art projects that involve faculty and students in communities and K-12 schools throughout Iowa. Since 2004, Arts Share has expanded to more than 300 events each year, and has reached 85 of Iowa's 99 counties.

Iowa Initiative for Sustainable Communities (IISC) partners faculty, staff, and students with urban and rural communities to complete projects that enhance sustainability in Iowa's communities. Over the past five years, more than 100 projects have been completed by more than 1,000 university students in 17 Iowa communities. IISC is designed to benefit both communities and students, who participate in a course that focuses on interdisciplinary learning and critical thinking in the context of community engagement.

The university works with Iowa's Resource Conservation and Development (RC&D) non-profit organizations to help build strong, sustainable communities through a variety of projects, workshops, and grant collaborations. More than 250 students have participated in more than 30 projects in Iowa communities during the past two years.

Outreach & Engagement Grants support opportunities to take university resources to Iowans. Community Impact Grants provide up to $10,000 towards initiatives that directly respond to a community need. The Micro Grant provides travel stipends for outreach and engagement activities. The Theme Semester Supplemental Grant offers up to $1,000 to take each year's Theme Semester off campus. Over the last three years, these programs have awarded more than $320,000 to university faculty, staff, and graduate students.

The Speakers Bureau provides speakers to service clubs, schools, senior centers, and other community groups across the state by request. The Speakers Bureau contributes to community partnerships by making university experts available to meet educational needs of Iowans on a broad range of topics, and opening doors for collaboration between the university and statewide communities.

Local community economies have benefited from university outreach and engagement efforts. Funding leveraged by partner communities from OO&E activities rose from $1,180,000 in 2013-14 to $5,067,000 in 2016-17.

In 2015, the university was awarded the [Carnegie Community Engagement Classification](#), based on an extensive campus-wide review of [university infrastructure and sustained support](#) for community engagement.

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Criterion 1 - Mission

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

SUMMARY

The university serves the state of Iowa, the nation, and the world through its threefold mission of teaching, research, and public service. Foundational to success across all parts of that mission is the commitment to achieving "excellence through diversity." The strategic plan, which articulates areas of focus and emphasis within the broader mission, provides a framework to guide decision-making across the university.

The core mission, strategic priorities, and commitments to diversity, inclusion, and the public good are communicated in myriad ways to students, faculty, staff, and the public, and are enacted through direct public services, active community engagement, and integration across academic and co-curricular experiences.

Campus-wide initiatives during the last decade have made it an institutional priority to broaden and deepen commitments in these areas and to increase both the quality and the coordination of efforts to support student success, to create a more equitable and inclusive university community, and to advance university outreach and public engagement.

Criterion 2 - Integrity: Ethical and Responsible Conduct

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

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

The university and its governing board have established frameworks for operating ethically, transparently, fairly, and in compliance with all state and federal regulations.

The Board of Regents serves as the governing board for the University of Iowa, Iowa State University, the University of Northern Iowa, the Iowa Braille and Sight Saving School, and the Iowa School for the Deaf. The mission of the Board of Regents is to

- provide high-quality, accessible education to students;
- facilitate engagement in research, scholarship, and creative activities to enhance the quality of life for Iowans and the culture at large;
- provide needed public service; and
- create and support economic development through public and private sector partnerships.

Nine citizen volunteers are appointed to the Board by the governor and confirmed by the Iowa Senate to serve staggered six-year terms. The Regents elect one member to serve as president and another to serve as president pro-tem for two-year terms. According to Iowa Code §262.1, one member must be a full-time graduate or undergraduate student at one of the universities at the time of her or his appointment, and not more than five members can be members of the same political party.

The Board Policy Manual guides the Board's ethical conduct to ensure honesty, transparency, public accountability, ethical stewardship of resources, open and effective communication, advancement of high-quality public education, and respect for differences. Correspondingly, university statements of policy and practice articulate the importance of maintaining high levels of ethical practice and accountability in the university's operations and in the use of resources entrusted to it. Some prominent sources for these statements are the Operations Manual, Code of Student Life, Faculty Handbook, Researcher Handbook, Research Administration Handbook, and Graduate College Manual of Rules and Regulations.

University policies foster a culture of fairness and inclusivity.

Section II, Division I of the Operations Manual details policies ensuring non-discriminatory practices; protections against harassing, violent, and abusive behaviors; human rights concerns; and personnel practices. For example, the Code of Fair Practices details requirements to adhere to federal policies such as the Equal Employment Opportunity Act of 1972 and the Federal Civil Rights Act of 1991, while the policy on Human Rights affirms the precepts of human integrity and fair treatment.

At the state level, Iowa Code §216.6 defines unfair employment practices which the Board of Regents and university are prohibited from engaging in, including:

to refuse to hire, accept, register, classify, or refer for employment, to discharge any employee, or to otherwise discriminate in employment against any applicant for employment or any employee because of the age, race,

> *creed, color, sex, sexual orientation, gender identity, national origin, religion or disability of such applicant or employee, unless based upon the nature of the occupation.*

Both the Regents and the university specify non-discrimination statements (noted in 1.C). To institutionalize the commitments to fair practices contained in these statements, the Regents require each of the institutions they govern to develop affirmative action plans that are subject to continual review, and to offer orientation and training programs to enact the plans.

The Office of Equal Opportunity and Diversity ([EOD](#)) is charged with the implementation and monitoring of equal opportunity, affirmative action, and diversity policies at the university. Working closely with partner offices such as Human Resources (HR), the Office of the Provost, the Dean of Students, and the General Counsel, EOD administers programs to support compliance with federal and state equal employment opportunity/affirmative action regulations; investigates complaints of discrimination/harassment including sexual harassment complaints; houses the ADA coordinator; and provides diversity programming and resources to campus. Specifically, EOD carries out the following responsibilities:

- Collaborate with HR in the [search and selection process](#) for all academic faculty and administrative professionals and also in the hiring process for State Classified employees to ensure compliance with affirmative action and non-discrimination requirements.
- Serve as a proactive resource for units, departments, and university constituencies regarding matters related to equal opportunity, affirmative action, access, and non-discrimination. Orientation and training programs offered through HR and Diversity at Iowa include Building UI Leadership for Diversity ([BUILD](#)), [Building Our Global Community](#), [Harassment Prevention Education](#), and [Recruiting and Hiring a Diverse Merit Workforce](#).
- Collaborate with HR to conduct investigations and resolve complaints of discrimination and harassment in accordance with [university procedures](#).
- Provide facilities planning and [Universal Design](#) education to encourage integration of usability with other important design concerns. The university has developed [MAPPS](#) (Measuring Accessibility Points Plan and Standards), a tool that includes an extensive checklist of accessibility considerations and provides a framework for scoping a project design. It also offers a rating system, similar to the U.S. Green Building Council's LEED ratings, to indicate the relative extent of universal design in a given building.

All students and faculty are expected to abide by university-wide academic policies and codes of conduct.

The [Code of Student Life](#) defines violations of university policies, rules, and regulations -- including academic dishonesty (sections D.1-4) -- and outlines related disciplinary procedures. The Code also establishes that all students are responsible for any expectations identified by individual schools or organizations relevant to their academic major, professional field, or on-campus residence. Examples of collegiate policies on academic integrity include those developed by [Business](#), [Education](#), [Law](#), and [Nursing](#). Students taking courses or enrolled in degree-seeking programs are responsible for reading and understanding the relevant policies as listed in all course syllabi. Syllabi must outline student rights and policies related to religious observances, missed classes, and exams.

University policies foster responsible conduct of research and compliance with governmental laws and regulations (described in 2.E). The [Research Administration Handbook](#) includes a section devoted to research integrity, which encompasses general principles and specific expectations in regard to data acquisition, management, sharing, and ownership; the mentor/trainee relationship and responsibilities; and responsible authorship and publication practices.

The Office of the Provost compiles and maintains a listing of [policies and procedures](#) that regulate academic practices, rights, and responsibilities. These include the policy on [Professional Ethics and Academic Responsibility](#),

which details faculty members' responsibilities to students, scholarship, colleagues, the university, and the community.

The university expects all members of the community to exercise responsible stewardship of resources.

The Board of Regents Code of Business and Fiduciary Conduct safeguards the use of resources allocated to the Regents and the institutions they govern under the principles of fairness, integrity, respect, accountability, and legal compliance. To foster integrity and accountability and to maximize efficiency, accuracy, and productivity in Regents institutions, the Regents require each institution to have its own Business Office, which assumes primary responsibility for institutional financial reporting. Through the Controller's Office, the university maintains a sound fiscal report system to comply with federal and state transparency requirements. This office is responsible for submitting financial reports for the university and UI Hospitals & Clinics to the Board of Regents.

Internal audits to monitor the effectiveness of university processes are conducted through the Office of Internal Audit, the mission of which is to provide independent, objective assurance and consulting services and to improve the organization's operations. The Office of Internal Audit reports directly to the Chief Audit Executive of the Board of Regents. See 5.A for additional information about audit processes.

Various university policies regulate financial conflicts of interest. Conflicts of interest in the workplace involve situations in which university employees have financial interests and/or other personal considerations with a non-university entity that may compromise, or have the appearance of compromising, their professional judgment in performing their university duties (e.g., teaching, research, business decision-making). A financial conflict of interest in research may arise when a research investigator has a significant financial interest that may compromise, or have the appearance of compromising, his or her professional judgment in the design, conduct, or reporting of research. Per federal regulations and university policies, investigators must disclose and manage actual or apparent conflicts of interests in relation to any sponsored project.

The university implemented Uniform Guidance Procurement Standards on July 1, 2018. As part of the implementation, the university has been authorized by the cognizant federal agency to retain a micro-purchase threshold at $50,000, which is in accordance with Iowa Administrative Code 11-117.3(2).

The university engages in fair and transparent employment practices, and expects its faculty and staff members to conduct themselves according to principles of professional conduct, civility, integrity, and respect.

Section III of the Operations Manual contains policies and procedures related to human resources, including staff classification, the merit system, and criteria and procedures for hiring and appointments and for transfer and promotions. Section III, Division II deals with expectations for ethical behavior by faculty and staff.

The Office of Human Resources provides a guide to help all employees understand their rights and responsibilities as they relate to federal and state codes and university policies. The Employee Self-Service website contains training modules and notifications to all employees about their rights and responsibilities. The Staff Handbook summarizes university policies and procedures that govern staff behavior.

All faculty and staff members are required to complete training modules based on their job responsibilities and areas of work. Faculty and staff who work with students or have access to student records, for example, are required to complete the annual FERPA training; faculty and staff who have access to health records are required to complete HIPAA training. All faculty and staff employed 50% time or greater are required to take sexual misconduct prevention training. Various departments provide staff with training on specific university systems and policies; for example, employees in relevant positions receive training on ethical practices concerning payroll functions, accounting and finance processing, purchasing, and travel.

Through the Compliance web site, the university provides information about different areas of compliance in a single location, in order to enhance compliance awareness and facilitate collaboration among community members.

Auxiliary functions and units -- such as the Department of Public Safety, University Parking and Transportation, Information Technology Services, University Housing and Dining, Student Health and Wellness, Athletics, and the Center for Advancement -- operate with ethical integrity in accordance with university policies.

The Department of Public Safety works to maintain a safe learning environment and educates students, faculty, and staff in matters of protection and personal responsibility. Its largest division, the UI Police Division (UIPD), provides online training for its officers concerning criminal law updates, sexual harassment prevention, search and seizure protocols, and bias-based policing on a monthly basis. UIPD also participates in multi-agency training on cultural diversity and trauma-informed interviewing when responding to victims of violent crimes. Public Safety complies with the Jeanne Clery Disclosure of Campus Security Policy and Crime Statistics Act by providing an annual security report that addresses university policies, procedures, and programs concerning safety and security and is publicly available online. The report includes a table of on-campus crime statistics across the most recent three-year period. To keep the community informed about crime occurring on- and off-campus, UIPD publishes real-time crime alerts and maintains a daily crime log.

University Parking and Transportation establishes permit policies, publishes and enforces rules on campus parking, and establishes terms for appealing parking citations. The unit's Fleet Services web page offers vehicle usage safety and training information and points to the university driving policy. CAMBUS, the university's public transit system, provides fixed-route service throughout the campus as well as a complimentary demand-response service (the "Bionic Bus") for qualifying persons with disabilities. The services are free and available to the general public. Following federal regulations, CAMBUS services do not discriminate with regard to routing, scheduling, or quality of service based on race, color, national origin, or disability.

Information Technology Services (ITS) provides integrated information technology support for the campus. Through its Information Security and Policy Office (ISPO), ITS promotes secure information technology systems, services, and programs, while maintaining respect for academic freedom and privacy of electronic information. Educational materials for campus providers, awareness programs for users, and development and/or sharing of industry best practices are key components of ISPO's work, as are the development of new and updated IT policy, identification of architectural requirements, and coordination of security incident response and resolution. Core Security Standards are the baseline security requirements for any university networked system, including endpoints, servers, and applications.

University Housing and Dining supports the university's academic mission by providing student-focused, personalized service in ways that promote safety and foster growth. The unit is committed to a socially just community that encompasses diverse identities, ideas, experiences, and interests that infuse equity and inclusion. The "Statement of Diversity and Community" shared on the Housing and Dining web page affirms that "everyone who chooses to live in, work in, or visit our residential communities must understand that we will not tolerate any form of bigotry, harassment, intimidation, threat, or abuse, whether verbal or written, physical, or psychological, direct or implied. All civilly-expressed opinions and ideas are always welcome." This pledge extends to employment processes and the processes by which housing assignments are made to ensure equal opportunity and access to facilities for all students living on campus.

As is the case with all university auxiliary services, Student Health and Wellness (SHW) abides by the university's non-discrimination policy in delivering quality health care and promote healthy lifestyles for all university students. SHW is accredited by the Accreditation Association for Ambulatory Health Care (AAAHC), an agency that focuses on outpatient facilities that provide the highest quality patient care. Through the accreditation process, SHW strives to exceed national standards in order best serve students. To ensure ethical, transparent practice, SHW posts a listing of patient rights and responsibilities on its web page.

Participants in athletic programs -- students, coaches, faculty, staff, and volunteers -- are accountable to the laws, regulations, policies, and procedures applicable to all members of the university community. These participants abide by university, National Collegiate Athletic Association (NCAA), Big Ten Conference, and other applicable policies designed to protect student-athletes, ensure the integrity of athletic programs, and promote fair competition. The university is committed to full compliance with all requirements, and engages in extensive oversight, education, and training to ensure that participants in student athletic programs understand and comply. The mission of the Athletic Compliance Office is to advance the university's commitment to the highest standards and principles of ethical behavior and strict adherence to the letter and spirit of the applicable guidelines. The director of intercollegiate athletics reports directly to the president, and both receive advice and recommendations from the Presidential Committee on Athletics (composed of faculty, students, staff, and alumni) regarding policy governing the Department of Athletics.

Effective January 2018, the UI Foundation and the Alumni Association merged to form the Center for Advancement, which is the university's preferred channel for private charitable contributions. The Center focuses on helping university friends and alumni stay connected, get involved, and give back to the university community. As an accountability measure, the Center for Advancement has developed and implemented numerous policies and procedures related to ethical gift acceptance, disposition, and donor intent compliance to make sure that gifts are used according to donors' intentions. On its web page, the Center publishes annual operational, campaign, and audit reports and policies related to donor intent, donor privacy, ethical investment, and charitable solicitation.

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

The university provides information to students, faculty, staff, and the public through its web site.

The university home page provides easy navigation to information about the university. The "About" link contains essential facts and figures about the university, along with information about its history, strategic vision and governance structures, diversity and inclusion initiatives, and a description of life in Iowa City, as well as a link to Iowa Now, a one-stop news site for current university news.

The home page also links to several areas that are commonly of interest to various constituencies, including admissions, academics (with links to individual colleges), arts, athletics, research, health care, campus, outreach, and student outcomes. All top-level university web pages display useful footer links to MyUI (a student learning, information, and involvement dashboard) and to calendars, maps, directories, and Campus Data -- a recently developed portal that simplifies the process of data sharing and retrieval.

The web site of the Office of the Provost displays the university's accreditation status with the Higher Learning Commission.

Communications with students are regularly reviewed for accuracy and currency.

A communications team comprising individuals from Communications and Marketing, Strategic Communications, and Enrollment Management, and led by the director of communications and marketing for Enrollment Management, meets bi-monthly to plan and review all printed recruitment materials, electronic communications, website information, and presentations along with information sent to current students to ensure messaging is accurate and consistent. In addition, all major print materials are reviewed by a subset of the Admissions Recruitment Team for effectiveness, timeliness, and accuracy.

The Transfer Student Guide and viewbooks from the Office of Admissions and the College of Engineering provide examples of recruitment materials sent to prospective students. Enrollment management practice dictates that the life cycle for printed recruitment materials be no more than one calendar year to ensure currency. Typically, the Admissions Office releases new materials with the most up-to-date information for the upcoming academic year in August. The Admissions Data Team ensures that facts and figures presented in recruitment materials are aligned with current institutional data.

The director of marketing and communications for Enrollment Management consults with a number of campus entities to provide up-to-date information in the development of materials. These entities include (but are not limited to) the Admissions Data Team, Strategic Communications, Financial Aid, Housing and Dining, International Recruitment, the Division of Student Life, Pomerantz Career Center, the Honors Program, Transfer Recruitment, Study Abroad, the Enrollment Management Leadership Team, and individual academic units. The department head of the unit responsible for distribution grants final approval of recruitment materials.

Members of the communications team conduct a web audit once a semester to ensure information presented on the website is relevant and accurate. Changes to costs of attendance, scholarships, academic offerings, requirements, deadlines, and other changes in policy or offerings prompt immediate updates to the admissions website, which features a dedicated page detailing the costs of attending the university.

Within the Graduate College and professional colleges, deans and recruitment staff work with Graduate Admissions staff to review publicly available materials on an ongoing basis to ensure the information presented is

current and accurate. Annual targeted reviews of individual graduate program materials are also conducted to ensure accuracy. Regular communication between the Graduate College and program staff facilitates continual updates to websites and printed materials as needed.

As noted in 1.B, the Office of Strategic Communication (OSC) supports the institutional mission by seeking to build awareness and appreciation for the university's people and programs. OSC consults and produces content for internal stakeholders concerning social media usage, brand management, media relations, graphic design, and the production and use of audio and video content, and has developed the Brand Manual to ensure consistent communications practice. In addition, OSC collaborates with communications directors within constituent colleges and units to review communications content for integrity, accuracy, and currency.

The university is committed to conducting its affairs transparently and to ongoing accountability.

This culture of transparency and accountability is evidenced by the following examples:

- All meetings, minutes, and materials of the Board of Regents are open to the public, except for those specifically exempted by Iowa Code Chapters 21 and 22 on open meetings and open records.
- The university complies with the Iowa Open Records Act, making all public records open for inspection by any person at reasonable times, except as otherwise provided by Iowa Code.
- Accreditation standings with specialized accreditors and with the Higher Learning Commission are publicly disclosed on the university's website.
- The Office of Student Financial Aid web page contains information about costs of attendance, application and eligibility requirements, student employment, financial literacy services, and net price calculators.
- The university fully complies with the U.S. Department of Veteran Affairs Principles of Excellence guidelines for educational institutions receiving federal funding.
- The General Catalog provides links to supporting offices at the university, a list of administrative officers, an A-Z list of faculty members, a university calendar, and a link to the Code of Iowa for information regarding admission requirements and Iowa resident/nonresident standing.
- Institutional data concerning student outcomes, including senior exit survey data, graduate career surveys, SERU, and institutional reports are provided on the university's website.
- The Diversity at Iowa website provides longitudinal data concerning diversity, equity, and inclusion.

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

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

The Board of Regents holds broad statutory authority, as delineated in Iowa Code, to exercise all the powers necessary and convenient for the effective administration of its office and the institutions under its control.

The Board of Regents (described in 2.A) is statutorily authorized by [Iowa Code §262](), which delineates the following [broad responsibilities]():

- Creating strategic plans for the Board and approving mission statements and strategic plans for the governed institutions, as well as monitoring progress toward strategic goals
- Creating and monitoring implementation of broad policy statements
- Reviewing and approving academic programs
- Approving budgets, tuition and fees, bonding, investment policies, and other business and finance matters
- Managing and controlling property and capital projects
- Hiring and evaluating the performance of the three university presidents and two special school superintendents
- Maintaining oversight of matters related to personnel and employment relations, including the administration of the Regent Merit System and coordination of Regent collective bargaining activities
- Serving as trustees of the UI Hospitals and Clinics
- Monitoring and coordinating relevant issues within the Iowa legislature and the legislature's interactions with other state agencies
- Conducting studies and investigations in matters related to its purview, either alone or in collaboration with constituent institutions and/or other relevant agencies, and reporting findings and recommendations

The Board of Regents is responsible for coordinating cooperation between the Regents universities and education agencies, community colleges, and school districts within the state, including articulation agreements.

In exercising the powers and authorities granted under Iowa law, the Board of Regents is guided by the four points of its [mission statement]():

- Learning that empowers excellence
- Research that increases innovation
- Service that fulfills public purpose
- Civic responsibility that enhances quality of life

The Board of Regents operates ethically and transparently.

The Regents meet at least four times a year with the option to hold special meetings. All sessions are public, except those executive sessions authorized by law. Agenda items are made public in advance of each meeting through the Board Office, its website, and the public information officer at each institution. As a means to include the different constituencies at each public institution, the Regents encourage university presidents to invite faculty, student, or staff representatives to make presentations at each meeting. External constituents may request to make written or oral presentations.

Through August 2018, Chapter 1.4H of the Board Policy Manual required public comment hearings to be held prior to each regularly scheduled Board meeting. In June 2017, the Regents implemented a pilot program to replace those separate hearings with a period reserved for public comment at each regularly scheduled Board meeting. This change to the Policy Manual was adopted permanently in September 2018.

In its Policy Manual, the Board of Regents enumerates the core values that guide its ethical conduct. Aligned with Iowa Code §68B, the Board's Conflict of Interest Policy ensures that the Regents act in the best interest of each institution by requiring each Regent to disclose annually any relationship that may create a conflict of interest in their ethical service as a Regent.

The Board of Regents upholds principles of shared governance.

While overall authority to govern the Regents institutions is fully vested in the Board of Regents, the Board seeks to uphold principles of shared governance through delegation of administrative authority and responsibilities to the president of each institution. Under the president's leadership, the educational, research, and service missions of the university are fulfilled in compliance with policy established by the Board of Regents.

The Board of Regents operates through standing committees on Audit/Compliance, Academic Affairs, Campus and Student Affairs, Property and Facilities, UI Hospitals and Clinics, Investment and Finance, and Governance and Evaluation. The Regents maintain an annual schedule of reports and actions to receive, providing a transparent cycle for shared governance of issues delegated to each institution. Actions that must be reported to and affirmed by the Regents include those concerning faculty promotion and tenure; senior administrative appointments; student admission, financial aid, retention, diversity, and graduation data; program review and accreditation schedules; and budget and audit updates. Action items and decisions related to major gifts and honorary degrees are also reported to the Regents.

The Board of Regents holds the exclusive authority to select the presidents of the institutions under its purview. Although the Regents make the final decision, the selection process may include participation by the institution's constituencies, specifically the faculty. In the case of selection of provosts, vice presidents, and directors of major units, candidates for these positions are nominated by the institutional head and appointed by the Regents.

The Faculty Senate, composed of 80 representatives of all academic units of the university, serves as the principal channel of communication between faculty members and the central administration of the university. The Senate consults with the Board of Regents regarding appointment of central academic officials, and with the president on the periodic performance reviews of such officials. (Additional campus-wide and collegiate shared governance bodies are discussed in 5.B.)

Concerning tuition and fees, state law (Iowa Code §262.9.19 and Iowa Administrative Code §681-9.6(1)) specifically requires the Regents to notify the presiding officers of the student government organizations not less than thirty days prior to action to increase charges, including a copy of the related docket memorandum. The final decision on tuition and mandatory fees for the next academic year is made at a regular Board meeting held at one of the three Regents universities.

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

As an academic community, the university embraces academic freedom, freedom of expression, and pursuit of truth in teaching and learning.

The university considers freedom of inquiry and expression essential to its educational mission. The university recognizes the right of all members of the community to engage in discussion, exchange thought and opinion, and speak, write, or print freely on any subject in accord with the guarantees of the U.S. Constitution.

The university is committed to valuing and respecting diversity, including diverse philosophical, cultural, and political perspectives. Commitments to free expression, academic freedom, and diversity of perspectives are not mutually exclusive, and these commitments are interwoven throughout the policies and practices that govern student life, scholarly practice, and academic inquiry.

The Board of Regents, in its Policy Manual, affirms the principle of [Academic Freedom](#) and the obligation to secure this right for university teachers within the classroom, for university scholars in their research activities, and for those engaged in creative endeavors at all Iowa public institutions governed by the Regents.

The university adheres to the 1940 [Statement of Principles on Academic Freedom and Tenure](#) of the American Association of University Professors (AAUP). This document addresses faculty freedom to: conduct research and publish its results; discuss topics -- including controversial issues when relevant -- in their classrooms; and speak and write as citizens, free from institutional censorship or discipline, as long as certain responsibilities are upheld (to be accurate, to exercise appropriate restraint, to respect the opinions of others, and to indicate they are not speaking for the institution).

Principles of academic freedom and responsibility for students, instructors, and staff are enacted in several Operations Manual (OM) policies, which provide ethical and professional guidelines for teaching performance and praxis. These include the sexual harassment policy ([OM II.4](#)); policy on sexual misconduct involving students ([OM IV.2](#)); anti-harassment policy ([OM II.14](#)); policy on violence ([OM II.10](#)); anti-retaliation policy ([OM II.11](#)); human rights policy ([OM II.3](#)); policy on affirmative action and equal opportunity ([OM II.8](#)); and safety, health, and environment policy ([OM V. 43](#)).

The OM clarifies that while university personnel enjoy the political privileges of citizens, personal political activity -- including soliciting support for personal views and opinions -- should not occur in the classroom. The OM further specifies the instructor's obligation to:

- respect the academic freedom of others;
- refrain from unprofessional criticism of colleagues, students, or the institution before students and the public;
- respect the intellectual freedom of students;
- refrain from imposing upon students' search for or consideration of diverse or contrary opinions;
- protect students' freedom to learn, especially when that freedom is threatened by repressive or disruptive action;
- maintain a classroom where free and open discussion of content and issues relevant to the course can occur; and
- respect reasonable decisions by students, based on their exercise of their own intellectual freedom, not to attend part or all of a particular class session.

In tandem with the Operations Manual, the Code of Student Life sets standards for acceptable behavior to allow for the free exchange of ideas, while the Student Bill of Rights guarantees a number of rights and freedoms to each university student, including freedom of expression.

The university's colleges each publish required guidelines for syllabi, in part to ensure that freedom of expression is foregrounded. For example, the College of Liberal Arts and Sciences, which serves the majority of undergraduates, has developed a required syllabus to ensure consistent ethical classroom practice that facilitates free and fair academic inquiry and dialogue.

University commitment to upholding freedom of expression and academic freedom is evidenced in a wide array of practices and events across campus.

The Faculty Senate Committee on Academic Values (Faculty Senate Bylaws, section III.7) aims to develop collegial expertise and provides peer counsel regarding the principles, history, and current application of core academic values in higher education, especially concerning academic freedom, free speech, tenure, and shared governance. The committee counsels and advises Faculty Senate officers, Senate committees, and other university constituencies with regard to proposed policies, curricula, programs, events, and other issues impacting or related to core academic values, as well as events or responses to events on campus that could detrimentally affect core academic values.

The dean of students and the executive director of the Center for Diversity and Enrichment established the Campus Inclusion Team (CIT) in spring 2017 in response to students expressing the need to create a mechanism for reporting incidents of bias on campus. The CIT is composed of trained staff who provide support and resources to any student raising a concern about the practice of diversity, equity, and inclusion within the campus community. CIT team members listen to student concerns; provide information about relevant university policies and procedures; assist students in identification of potential options, both formal and informal; and assist students in developing an effective plan to resolve the situation. CIT collects data about the types of concerns raised and shares this data and information about emergent trends with the campus community.

Additionally, various offices periodically sponsor events that further reinforce the university's commitment to freedom of expression and pursuit of truth. Recent examples include:

- In publicly engaging with Iowa communities, the Provost's Office of Outreach & Engagement (OO&E, described in 1.D) amplifies the university mission to focus on the free exchange of ideas through programs such as the Theme Semester and Hawkeye Lunch and Learn. Grounded in the university's focus on exchange of diverse perspectives, the Theme Semester provides opportunities for teaching, engagement, and learning both on campus and throughout the state. In the same vein, the Hawkeye Lunch & Learn lecture series aims to bring the university into communities, with faculty, staff, and alumni showcasing their areas of expertise in dialogue with Iowa citizens. Presentations feature the diverse work of passionate experts while increasing Iowa citizens' knowledge of how they can collaborate with the university to create a better future for Iowans.

- The University Lecture Committee (ULC) organizes a series of prominent guest lecturers, with the mission of enhancing the learning environment and providing unique and thought-provoking experiences for the university community. In March 2017, for example, the ULC sponsored a Free Speech Day to highlight free speech in academic settings and to encourage commentary on its impact in society and the media. The ULC invited political commentator Ana Navarro to keynote this event, which also featured Jamelle Bouie, political columnist for *Slate* magazine, and popular essayist Laura Kipnis.

- The Carver College of Medicine (CCOM) is committed to ensuring academic freedom in medical inquiry and practice. The College's Honor Code aims to sustain and protect an environment of mutual respect and

trust in which students have the freedom necessary to develop their intellectual and personal potential. Further, CCOM sponsors frequent public events investigating the role of free inquiry in medicine. Recently, for example, Brian Leiter, Karl N. Llewellyn Professor of Jurisprudence and Director of the Center for Law, Philosophy, and Human Values at the University of Chicago, presented a public lecture entitled "Justifying Academic Freedom: Marcuse and Mill Revisited."

- In 2016, the Office of Teaching, Learning & Technology's Center for Teaching organized a series of interactive workshops on strategies for productive classroom discussions on topics that challenge stereotypes and address issues of identity and culture. Initial discussions were tied to the 2016 "Just Living" theme semester, and were followed by an interactive workshop on "Difficult Dialogues and Stereotype Threat: Facilitating Classroom Discussions" facilitated by Tasha Souza, a nationally known scholar on difficult dialogues in the classroom, multicultural education, and instructional communication.

- Launched in September 2017, the A. Craig Baird Debate Forum on Contemporary Politics and Society series engages modern political controversies, encouraging public deliberation through open forums as a way to show how free speech can be conducted in a respectful way.

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

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

The university provides institutional oversight to maintain high standards of quality and integrity in research and scholarly practice.

The Office of the Vice President for Research (OVPR) provides resources and support to researchers and scholars at the university and services to Iowans, with the goal of forging new frontiers of discovery and innovation to promote a culture of creativity that benefits the campus, the state, and the world. The office assists researchers in the development of research proposals, and offers training, workshops, and other activities and resources to support researchers, spur interdisciplinary collaboration, and translate discoveries into real-world innovations.

In order to meet the institutional obligation to provide Responsible Conduct of Research (RCR) training, the university developed the RCR Plan under the joint sponsorship and responsibility of the Graduate College and the Office of the Vice President for Research. The current RCR program focuses on four groups engaged in NIH-, NSF-, and/or NIFA-funded research or other scholarly creativity involving undergraduates, pre-doctoral and post-doctoral students, and also early career faculty holding NIH K-Awards. Members of these four groups must complete the appropriate RCR program as described in the plan.

Iowa's research compliance program is managed through a consortium of offices and committees that report to the vice president for research, including the Human Subjects Office, the Office of Animal Research, the Institutional Animal Care and Use Committee, the Research Office (concerning conflict of interest issues), and the Office of Environmental Health and Safety. The purpose of the compliance program is to review all relevant research proposals and activities to ensure they are in compliance with university, local, state, federal, and funding agency regulations for research.

- The Human Subjects Office (HSO) provides administrative support for the university's Institutional Review Boards (IRBs), which are charged with reviewing proposed research to ensure the protection of human subjects and compliance with federal human subjects regulations. The university has three such review boards, each consisting of faculty, staff, and representatives from the Iowa City community. In addition to its oversight role, HSO provides training on HawkIRB (the web-based IRB application and review system) and best practices for the conduct of human subjects research. Information is available through the HSO web site, a self-directed online course for investigators, weekly walk-in "Office Hours" held by HSO staff in different locations on campus, and consultations with HSO staff on request. The Education and Outreach Program actively seeks out opportunities to educate the university community about the IRB and HSO by distributing educational materials at campus research conferences and events as well as training events for new faculty, staff or students.

- The Office of Animal Resources (OAR) oversees animal housing facilities in the Colleges of Medicine, Liberal Arts and Sciences, and Public Health, as well as at affiliated sites at the State Hygienic Laboratory in Ankeny, Iowa; the Iowa Raptor Project located near Lake MacBride; and the Lakeside Laboratory in Western Iowa. OAR provides the expertise, care, and resources necessary for the maintenance of research

animals. Its mission is preservation of the university's animal research privilege and maintenance of a quality animal care and use program.

- The Institutional Animal Care and Use Committee (IACUC) facilitates responsible scientific research by striving to reduce the number of research animals required, encouraging the performance of research with techniques that limit animals' pain or distress, and seeking alternative procedures that can supply the required results without utilizing living animals. Its goal is to promote and encourage an atmosphere of attention, concern, and caring for the welfare and comfort of the animals used in university research.

- The Conflict of Interest in Research unit in the Office of the Vice President for Research educates faculty about and seeks the disclosure of financial interests that might negatively impact their research, and helps faculty whose research is found to involve financial conflict of interest resolve the conflict. In calendar year 2017, COI staff conducted 2,422 conflict of interest in research reviews on behalf of the COI Institutional Official. Thirty-eight cases were reviewed over the course of 10 committee meetings. Twenty-nine management plans were implemented.

- The Environmental Health and Safety Office (EHS) promotes health and safety at the university by offering a variety of services in the areas of biological, chemical, occupational, and radiation safety, and select environmental programs. Some of its direct services include chemical and radiation exposure monitoring, worksite hazard evaluations, workplace safety surveys, safety equipment selection, safety program reviews, safety training, and disposal of hazardous waste.

- The university abides by federal privacy rules aimed at providing protection for health care information in compliance with the Health Insurance Portability and Accountability Act (HIPAA). University staff members whose work entails contact with patient information have undergone training in the Privacy Rule and the university's policies and procedures. In addition, the university has instituted administrative and technical requirements to ensure HIPAA regulation compliance by preventing the inappropriate use and disclosure of an individual's health information; protecting that information and the systems that store, transmit, and process it; and increasing the efficiency of operations through standardization.

- Information Technology Services (ITS) maintains current data management policies and provides frequent training opportunities to all campus constituencies in the ethical and secure use of data. These policies constitute one segment of the Security Plan, an information security program comprising a combination of policy, security architecture modeling, and descriptions of current IT security services and control practices.

- The Division of Sponsored Programs (DSP) offers a range of services for faculty, staff, and students seeking external funding for research, training, service, and other scholarly and creative endeavors that enrich the university and its far-reaching communities. DSP's Research Administration Handbook covers guidelines and expectations related to data acquisition, management, sharing, and ownership; the mentor/trainee relationship and responsibilities; and responsible authorship and publication practices. The handbook's "Research Integrity and Misconduct" section outlines policies and requisite training (see description of Responsible Conduct of Research training, above) to encourage research integrity.   DSP offers consultative services including regulatory compliance assistance programs to address Occupational Safety and Health Administration, Environmental Protection Agency, and U.S. Army/Department of Defense grant-related responsibilities within health care, research, academic, and service environments.

The university provides guidance for students on ethical resource use, academic honesty, and integrity.

All new undergraduate and transfer students are required to complete the online Success at Iowa course at the beginning of their first semester. The course consists of a series of modules and includes a section on plagiarism

and academic integrity. Students engage in interactive learning activities concerning integrity in the university community, university policies and resources related to academic integrity, giving credit where credit is due, and the importance of doing one's own work. These skills are reinforced in gateway Rhetoric courses (required for nearly all matriculating students), which include inquiry-based projects that require students to practice information literacy skills and appropriate use of sources.

To support students in these gateway courses, librarians design and offer information literacy instruction in stand-alone courses and in collaboration with course instructors. Information literacy courses focus upon effective and ethical discovery, evaluation, and use of information. Offered online and bearing one hour of course credit, these courses frame appropriate use of sources, avoidance of plagiarism, and academic integrity as intellectual practices that are parts of the inquiry process, rather than as compliance activities. The university also supports the integrated availability of Turnitin, a web-based plagiarism detection service that can easily find plagiarized papers and assignments, as part of ICON (the university's Canvas-based learning management system).

The Code of Student Life sets forth standards of student behavior and conduct necessary for the maintenance of a campus where ideas are freely exchanged, university property and processes are safeguarded, and conflicts are peacefully resolved. Each student has an obligation to know and adhere to the Code of Student Life, and each student is informed that they are presumed to have knowledge of the contents of the Code from the date of the student's initial application to the university.

Each college within the university publishes expectations for academic conduct, often supported by a statement on academic honesty. For example, the College of Liberal Arts and Sciences -- the college in which most undergraduates begin their academic careers -- publishes a Code of Academic Honesty that is included on the syllabi of all courses offered within the college. The Code details definitions of academically dishonest practices along with the processes by which these practices will be adjudicated.

Section II, Chapter 15 of the Operations Manual (Professional Ethics and Academic Responsibility) articulates academic honesty and integrity in professional practice through a discussion of faculty responsibilities to students, to scholarship, to faculty and staff colleagues, to the institution, and to the community. As noted previously, the Office of the Provost website maintains a listing of faculty policies concerning principles, professional rights, and responsibilities. Individual colleges amplify these faculty policies in collegiate faculty handbooks.

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Criterion 2 - Integrity: Ethical and Responsible Conduct

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

SUMMARY

The university establishes and enforces policies that enact its commitments to freedom of expression, pursuit of truth, and integrity in all its practices. The university provides oversight and institutional resources to support both the quality and the integrity of research and scholarly work, and provides students with education and guidance in ethical and responsible uses of information.

Established university policies and practices uphold ethical and responsible conduct in academic, financial, personnel, and auxiliary operations. The university demonstrates the integrity of its operations by regularly reporting to the state-appointed Board of Regents, other state and federal regulating bodies, and accrediting agencies, and by transparently representing its programs, requirements, faculty, staff, costs, and accreditation relationships to students, faculty, staff, and the public.

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

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

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

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

Undergraduate, graduate, and professional degree programs are appropriate for higher education.

Through its 12 colleges, the university offers 120 bachelors, 115 masters, 83 doctoral, 93 certificate, and 2 specialist degree programs. The university assures relevance and quality of programs through established processes for academic program approval and review. New programs and program changes are reviewed at departmental and collegiate levels by faculty committees with expertise in the field. These faculty-driven review processes are used to ensure that programs and courses are relevant, and performance expectations are appropriate to course or degree level (see 4.A and 4.B). Specialized accreditation maintained by some programs further ensures that these programs are current and appropriately rigorous.

Another example of institutional processes to maintain program relevance is the review and ongoing development of the General Education (GE) curriculum. GE review procedures reflect collaborative efforts of faculty members, college leadership, central administration, and student government; outcomes of these reviews include more clearly defined GE requirements and, recently, creation of the new Diversity and Inclusion outcome (see 3.B).

Learning goals are aligned with degree levels.

University course numbers consist of an alphabetical prefix (indicating department or program), followed by a four-digit numerical suffix unique to each course. Course numbers 0000-0999 designate pre-lower-level courses, 1000-2999 designate lower-level undergraduate courses, 3000-4999 designate courses for upper-level undergraduate and graduate students, 5000-7999 designate graduate-level courses, and 8000-9999 designate professional-level courses. The General Catalog describes course numbering, credit and contact hour, prerequisite, and other policies. The Catalog is reviewed and updated annually to reflect changes to courses and programs.

Graduate programs are differentiated from undergraduate programs in their goals and learning objectives. Graduate programs focus on mastery of methodologies for research and practice in the discipline (in the case of Master's degrees) and excellence in original and independent work (in the case of Doctoral programs). Each department offering graduate programs has a graduate committee composed of faculty who provide leadership and oversight for maintaining program quality. Many programs articulate graduate program expectations in their departmental graduate handbooks (see for example, Anthropology, Social Work MSW and PhD Programs, and Nursing).

Oversight of graduate education quality and relevance is also provided by the Graduate Council, which reviews proposals to create, revise, or discontinue graduate programs in its bi-weekly meetings. Recent actions to approve creation of a new Ed.D. program and to discontinue the MFA in Music and the MA in Urban and Regional Planning demonstrate the deliberative procedures of the Council for reviewing goals and assuring relevance of graduate programs.

Periodic institution-wide reviews of graduate and professional education provide further oversight for graduate education. The Strategic Initiative Task Force on Graduate Education (2010), for example, recommended restructuring programs into more integrated and cohesive programmatic clusters using interdisciplinary and multidisciplinary approaches. The Doctoral Program Review (2016) found that many programs have been actively working on improving student skills to communicate their research to broader and non-specialized audiences. The report also shows that many programs have improved new student orientation to emphasize expectations for graduate studies and ways in which they differ from the undergraduate experience.

In programs with specialized accreditation (such as Law, Dentistry, and Masters of Public Health programs) faculty specify professional competencies for students that are consistent with standards and expectations of the profession. Many of these programs align educational objectives with accreditor expectations and regularly undergo specialized accreditation reviews to assure program quality.

The university provides the same quality in education across different locations and delivery modes

The university provides off-campus instruction in locations for students who are unable to take courses on the Iowa City campus. It is important to the university that the quality of instruction at the off-campus locations be the same as the quality of on-campus instruction at Iowa City. The recent Multi-Location Review conducted by HLC affirms that the university has sound systems in place for assuring instructional quality and student support services at additional locations.

Increasing university access is a strategic priority. The total headcount of online enrollments increased by 204% from 4,005 in FY 2002 to 12,166 in FY 2016. In 2002, the university offered 12 degree and certificate programs online. By 2018, the number had increased to 41, with additional tracks and specializations in some programs, for a total of 81 distinct program offerings. Two undergraduate degree programs (Bachelor of Applied Studies, Bachelor of Liberal Studies) are mandated by the Board of Regents as a way for geographically committed students to complete a four-year degree.

While there has been continual growth in the number of online courses, programs, and certificates, the most significant factor in increasing online enrollments is the number of on-campus student enrollments, comprising approximately 50% of enrollments in online/distance courses. This pattern can be explained by the flexibility online courses offer students who are working, doing internships, studying abroad, deployed, or studying from home during the summer by taking courses online.

Resources offered to on-campus students are available to distance education students, including academic advisors dedicated to supporting students in distance programs. The digital library is available to distance education students who authenticate with their HawkID, and a dedicated distance librarian supports distance education students and instructors. Distance students have access to ICON (the university's Canvas-based learning management system), reduced costs on software, and other information technology services.

Any faculty member with a regular appointment can teach an online course (see 3.C). The Distance and Online Education Instructional Design team assists faculty who are developing online courses. Instructional designers help faculty:

- Review course objectives

- Structure content, pedagogy, and assignments for online environments
- Develop assessments
- Create digital media to support learning
- Provide Learning Management System (LMS) support
- Ensure ADA compliance, including closed captioning

Online courses have the same expectations, learning outcomes, texts, assignments, and assessments as on-campus courses, and are similarly subject to systematic review by faculty committees. The Instructional Design team works closely with each faculty member to ensure that distance and online courses mirror the structure and quality of on-campus courses. Instructional Design staff recently launched a faculty training program for developing and teaching online courses (D4O – Design for Online). This fourteen-week program is both online and face-to-face, and is designed create a faculty community of practice.

The university also belongs to Quality Matters, an organization dedicated to conducting peer review of courses and materials and monitoring quality in online courses. Several faculty members are in the peer review pool.

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

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

The General Education Program provides students with a broad foundation of knowledge and skills necessary for a lifetime of learning and successful careers.

The GE Program is central to undergraduate learning at the university and is constantly monitored and updated by the College of Liberal Arts and Sciences (CLAS). GE requirements for CLAS students entering the university before 2011 consisted of nine separate areas, including a distributed area that encompassed seven subareas. A review of these requirements in 2005-06 resulted in the modification of areas that students found confusing and duplicative. The updated configuration, launched in 2011, replaced the seven subareas with a streamlined model in which students complete three semester hours in each of four areas: Literary, Visual, and Performing Arts; Historical Perspectives; International and Global Issues; and Values, Society, and Diversity.

In 2015, racism-related events in the news and on our campus prompted the UI Student Government (UISG) to advocate for improving the campus climate, using the work of Penn State on Education Equity as a model. UISG recommended a revision to the existing GE area of Values, Society, and Diversity in order to focus it solely on diversity. At the same time, the SERU Brief, Stretching Our Students, suggested that growth in awareness and understanding of diversity can particularly occur in classrooms, especially when students work together and are given opportunities to engage with students who have different backgrounds, perceptions, and experiences.

In response, CLAS convened a special committee to examine the need for a distinct GE requirement focused solely on diversity. The committee unanimously recommended that the college split the current Values, Society, and Diversity area into two separate categories: (1) Diversity and Inclusion, and (2) Values and Culture, adding a 3-semester hour requirement to the GE Program to create the CLAS Core (effective for students entering summer 2017 and after). Courses for the Diversity and Inclusion requirement are expected to develop students' recognition of their positions in an increasingly pluralistic world and foster understanding of social and cultural differences. In order to transform this requirement into a signature experience for students aligned with the university's mission and strategic plan, it was decided that no transfer credit would be accepted for the requirement. Courses in this area are expected to be discussion-based and designed to help students:

- explore historical and structural bases of inequality
- learn about benefits and challenges of diversity
- reflect critically on their own social and cultural perspectives
- increase their ability to engage with people who have backgrounds or ideas different from their own

With the addition of the Diversity and Inclusion requirement, the CLAS GE Program now consists of 11 required areas, divided into three broad clusters:

1. Communication and Literacy

- Rhetoric
- Interpretation of Literature
- World Languages

2. Natural, Quantitative, and Social Sciences

- Natural Sciences
- Quantitative or Formal Reasoning
- Social Sciences

3. Culture, Society, and the Arts

- Diversity and Inclusion
- Historical Perspectives
- International and Global Issues
- Literary, Visual, and Performing Arts
- Values and Culture

A central element of the GE program is Rhetoric 1030, one of the few courses [required for nearly every first-year student](). The course is designed to help students develop analytical and critical reading, writing, speaking, and listening skills, and is intended to equip students for success in later university coursework. Because the course is often taken in the first or second semester of study at the university, it is seen as a foundational component of orientation to academic norms and practices. With class sizes typically capped at 20 students, Rhetoric courses provide an academic setting where students are well-known to their instructors and able to receive individualized attention in response to both academic and college transition concerns.

Rhetoric is regularly reviewed though GE assessment procedures (see 4.B), CLAS academic program review (see 4.A), and the Rhetoric Department's own commitments to continuous improvement (also described in 4.B). Rhetoric faculty work collaboratively on ongoing program development and on the mentoring of graduate student instructors through the Professional Development Program (PDP, described in 3.D). Rhetoric instructors are also active partners in the Excelling@Iowa early intervention response team (described in 4.C).

Outside of CLAS, other colleges offering undergraduate programs specify their own GE requirements and learning outcomes while [using CLAS coursework to support many of their intended goals](). For example, the College of Engineering requires at least 15 GE credit hours, three of which must be from the *Engineering Be Creative* component; another three are taken from CLAS GE Core areas. The remaining nine semester hours can be selected from the *Engineering Be Creative* list, courses in the CLAS GE Core areas, or the [College of Engineering approved course subject list]().

Differences in GE requirements allow undergraduate colleges to distinguish the mission and learning outcomes of their programs and partner across colleges to provide the best possible foundational GE curriculum. These partnerships allow for efficient delivery of courses while avoiding duplication. Because GE requirements across colleges rely extensively on CLAS coursework, CLAS and its faculty -- who are experts in these GE content areas -- play a central role in overseeing content of the GE program. To facilitate communication and collaboration across colleges concerning GE requirements, CLAS recently initiated a GE Advisory Board, consisting of representatives from each undergraduate college.

Another characteristic of the GE Program is that course proposals are required to specify pedagogical practices as well as course content. The GE Program intends to create a classroom experience focused on helping students "learn how to learn," preparing them for academic expectations of more advanced courses. Any faculty member proposing a course for GE status is required to demonstrate in a written proposal (with an attached syllabus and a range of assignments and materials) that their pedagogical practices are appropriate for non-majors at an introductory level, and designed to help students further develop skills for academic success. GE courses must:

- Teach skills and content incrementally, helping students master skills in increasingly complex steps
- Provide early and frequent feedback on student work
- Facilitate peer-to-peer learning
- Consciously help students understand the process of learning while discussing academic standards
- Challenge students to strive for excellence through the use of transparent rubrics and academic goals

GE Proposal Guidelines provide faculty with a checklist of required elements and a sample rubric used by the GE committee to evaluate the proposal and ensure that the course as proposed is consistent with required pedagogical attributes and goals of the program. Recently approved proposals from Cinema and from International Studies demonstrate how departments use these guidelines to shape course proposals.

GE courses must use a range of student assessment methods. Courses requiring only quizzes and exams, for example, are not approved for GE status. Faculty members proposing GE courses are encouraged to consult with members of the GE Curriculum Committee before, during, and after this approval process in order to help them align their proposals and courses with the educational goals and expected pedagogical practices of the program.

A recent faculty initiative has led to the creation of interdisciplinary GE courses defined by inquiry-based student-centered pedagogies. First taught in 2013, Big Ideas courses address a central theme ("Big Idea") through the lens of multiple disciplines; for example, People and the Environment: Technology, Culture, and Social Justice (team-taught by faculty from Gender, Women's, & Sexuality Studies; Geography; Mechanical Engineering; and Urban & Regional Planning); and Origins of Life in the Universe (team-taught by faculty from Astronomy, Biology, Anthropology, and Geoscience). Instructors use team-based, peer-learning strategies, often within active-learning (TILE) classrooms (described in 3.D). Like other GE courses, Big Ideas are elective, taught at an introductory level, and open to all undergraduates.

Faculty and students contribute to scholarship, creative work, and the discovery of knowledge.

The university has longstanding commitments to research, creativity, and discovery in the arts, sciences, and humanities -- demonstrated by scholarly achievements in areas that range from one of the nation's largest academic medical centers to the pioneering Iowa Writers' Workshop. The Office of the Vice President for Research (OVPR, described in 2.E) provides resources and support for researchers, facilitates student scholarly work at undergraduate, graduate, and professional levels, and promotes the integration of research into classrooms at all levels.

Faculty participation in scholarly and creative work is one of the three central responsibilities (along with teaching and service) that form the basis for hiring and promotion of tenure track faculty, and examples of research and

scholarly work can be found in every department on campus. The 2017 OVPR Annual Report offers recent examples of faculty research and overall highlights of the university's research enterprise. External funding for research and scholarly work totaled $554.0 million in FY 2018 (see 5.A).

Research support provided by the Graduate College includes training in responsible conduct of research for graduate and professional students, and numerous funding opportunities. The Iowa Center for Research by Undergraduates (ICRU) promotes undergraduate involvement in mentored research and creative projects. ICRU helps students develop research and communication skills, facilitates formation of partnerships between faculty mentors and interested undergraduates, and provides mechanisms for students to obtain academic credit for undergraduate research. ICRU helps students find financial support and scholarship opportunities, and has directly supported more than 1,400 students as ICRU Fellows since 2010. ICRU also hosts conferences and campus events to showcase undergraduate research; the fall and spring Undergraduate Research Festivals regularly showcase the work of 100+ undergraduate researchers.

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

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

The university has highly qualified faculty and staff.

The university recruits and develops faculty and staff who ensure that students receive exceptional educational experiences through their commitments to highest standards of excellence. The university maintains a distinguished [faculty](#) of just over [3,000 FTE](#) in its 12 colleges. The regular faculty includes 2,741 individuals in the following appointment types (based on the [2018 Tenure Report](#)):

- Tenured/Tenured-track: 1,496
- Clinical-track: 891
- Research-track: 44
- Instructional-track: 310

The remainder of the faculty is composed of individuals holding full-time or part-time [fixed-term faculty appointments](#) (counting paid appointments only):

- Lecturers (short-term): 11
- Clinical/adjunct faculty: 324
- Visiting faculty: 151
- Other (associate, assistant in instruction): 105

The undergraduate student-to-faculty ratio has held consistently at 16:1 over the past decade.

All faculty members undergo a required [credential check at the time of hire](#). In all cases, departments check degrees, certifications, or licenses that are relevant to a hiring selection or that might influence the setting of salary. Credential checks are conducted immediately upon selection of the candidate(s) of choice and submitted for verification no later than 15 days following the candidate's first day of employment. Colleges and departments are responsible for identifying the degree, certification, or license required for the position. Currently, 98% of tenured and tenure-track faculty hold a terminal degree.

The policy for tenure-track appointments states that a qualified candidate is a "[h]older of the doctorate or equivalent." Exceptions are made only in rare cases in which new faculty are hired on a one-year non-renewable contact while completing final requirements for a terminal degree. Determination of equivalent standards varies by discipline; for example, one journalism faculty member came to the university with a bachelors' degree and nearly 20 years of professional journalism experience, several national journalism awards, and experience in academic appointments at other institutions. The degree and professional experience were deemed to qualify this person to teach courses such as "Magazine Reporting and Writing," "Narrative Journalism," and "News-Editorial Problems." One faculty member in dance holds a Bachelor of Arts, numerous teaching certifications through the American Ballet Theatre's National Teacher Curriculum, and extensive experience as an instructor and principal dancer in world-renowned dance companies. It was determined that this combination of academic degree, professional certification, and distinguished experience met the "or equivalent" standard as qualifications to teach courses such as "Ballet," "Music Essentials for Dance," and the "Senior Seminar in Dance."

The Operations Manual establishes qualifications for faculty tracks and ranks within tracks. Each academic unit develops detailed criteria to guide hiring and promotion processes that are consistent with the stated qualifications. For example, qualifications for the rank of tenured associate professor include:

- Convincing evidence that the candidate is an effective teacher
- Demonstration of artistic or scholarly achievement supported by substantial publications or equivalent artistic creations or performances, as appropriate to the discipline
- Department, college, and/or university service
- Quality and quantity of teaching, scholarly/artistic accomplishment, and service should give unmistakable promise of promotion to full professor

Tenured and tenure-track faculty hold standard portfolios of teaching, scholarship, and service. Tenure-track faculty members in the ranks of assistant, associate, or full professor also hold Graduate Faculty status. Administrative officers who hold professorial rank are also members of the Graduate Faculty. Graduate Faculty members may serve on examining committees and supervise graduate degree programs, theses, and dissertations. Other faculty member and scholars may be nominated for a term appointment to the Graduate Faculty.

In 2017 the university established two new full-time, non-tenured faculty tracks in (1) instruction and (2) practice, with ranks of lecturer, associate professor, and full professor of instruction or of practice, carrying expectations of teaching, scholarship, and service. Faculty within these tracks are increasing in number as fewer tenure-track lines become available; this growing faculty cohort is emerging as a foundational body to address the essential elements of the university's academic mission. The Instructional Faculty Policy was developed through a shared governance process to acknowledge the essential and increasing contributions of full-time, non-tenure track faculty and to provide a formal career path that includes promotion through ranks. As for all faculty tracks, the Instructional Faculty policy clearly identifies the required qualifications for each rank and ensures that these individuals undergo similar review processes as tenure-track faculty.

The 2009 Strategic Task Force on Research and Creative Excellence recommended broad interdisciplinary themes to build on existing strengths and distinguish the university in the years ahead. These recommendations were foundational to the faculty cluster hire initiative, which became a centerpiece to the institution's 2010-2016 strategic plan. The initiative was designed to address important scientific and societal challenges, promote multidisciplinary scholarly work, enhance community engagement and service, advance undergraduate and graduate teaching and learning, and benefit the people of Iowa and beyond. A 2012 review of the state of the Clusters further recommended ways in which they could contribute to the instructional mission. To date, 79 faculty members have been hired into clusters.

In the 2016-2021 strategic plan, strategic initiatives to recruit and retain a diverse and excellent faculty and staff continue to be emphasized as key strategies to achieve the institution's goals (described in 1.C).

As noted in 3.A and in the university's recent Multi-Location Review, the university has systems in place to assure the quality of faculty and staff at additional locations. Distance and online courses are taught by regular faculty or by instructors on limited-term appointment who are subject to the same hiring and supervision policies as on-campus faculty.

The university does not offer credit through dual enrollment or contractual programs. The university's only consortial program is the Medical Laboratory Science Program, offered in partnership with Allen College. Allen College accreditation includes institutional accreditation by HLC and program accreditation by the National Accrediting Agency for Clinical Laboratory Sciences, which includes verification of faculty credentials required for teaching in this program.

Staff members are appropriately qualified, trained, and supported in their professional development. For example, student support staff who work in University College and in Distance and Online Education are classified under the Educational Support Services job family. Each job family consists of four successive classifications. During hiring and annual review processes, staff members are thoroughly reviewed by supervisors and HR staff to ensure that all qualifications are met for the respective job family and classification. Information on key areas of responsibility and technical competencies for these positions are detailed in Human Resources job classifications. When new positions are created, HR reviews and ultimately determines the appropriate classification level and required qualifications for the position.

Staff members are encouraged to participate in organizations relevant to their profession, such as Student Affairs Administrators in Higher Education (NASPA), National Association of Student Financial Aid Administrators (NASFAA), the National Academic Advising Association (NACADA), and the Association for Institutional Research (AIR). When available, departmental funding is provided and staff are encouraged to attend relevant national and regional professional conferences. In addition, UI Learning and Development offers a variety of professional development and skill-building programs such as the Executive Leadership Academy, Supervising@Iowa, and E-Learning resources that include access to Myquickcoach, Lynda.com, and CultureVision. Learning and Development also partners with the Diversity Resources Team to offer courses as part of the Chief Diversity Office BUILD (Building UI Leadership for Diversity) program.

The university has established policies and procedures to conduct regular evaluations of its faculty.

Teaching is central to the university's mission. For this reason, the university supports and evaluates teaching effectiveness using a variety of methods:

(1) Assessing the Classroom Environment (ACE) course evaluations, an online evaluation system that collects student opinions about an instructor and provides a standard set of summary results.

(2) Peer Review of Teaching: Procedural Guidelines for Tenure and Promotion Decision-Making instruct colleges to develop processes for peer review of faculty teaching (see for example guidelines developed by Colleges of Public Health and Engineering).

(3) The OTLT Center for Teaching offers workshops, classroom observations, Class Assessment by Student Interviews (CLASSI), and other opportunities for professional development to help assess and improve teaching of both faculty and graduate teaching assistants.

The policy on Review of Tenured Faculty Members specifies that tenured faculty members receive annual and five-year performance reviews, both of which include evaluation of scholarly work and service as well as teaching effectiveness. Instructors holding other faculty appointments (such as clinical or fixed-term appointments) undergo regular performance reviews according to their respective policies. Colleges determine criteria and processes used to evaluate instructors (such as curricular materials to be submitted or number of peer

observations). See CLAS department-specific additions to [CLAS/UI Procedures for Promotion and Tenure Decision-Making](#) as an example.

The university provides support and resources for faculty professional development.

The institution further supports the professional development of faculty through the provision of a wide variety of programs. The Office of the Provost serves as a hub for [faculty development](#), ranging from programs for new and early career faculty to leadership resources for Department Executive Officers (DEOs). The campus-wide [Faculty Development Calendar](#) identifies faculty development opportunities offered by university offices. The institutional membership to the National Center for Faculty Development and Diversity ([NCFDD](#)) provides several offerings to support academics in making successful transitions throughout their careers. Faculty are also invited to participate in Learning and Development training opportunities such as the BUILD program, noted previously.

All tenure- and clinical-track faculty with part- or full-time appointments are invited to apply for Faculty Development awards. Examples include:

- [Career Development Awards](#), a competitive program designed to encourage scientific inquiry, research, artistic creation, clinical/technical expertise, and innovation in teaching.

- [Old Gold Summer Fellowships](#) provide probationary tenure-track assistant and associate professors funding for summer work within the first three years of their appointment.

- [Innovations in Teaching with Technology Awards](#) support innovative instructional technology projects that have the potential to directly impact student success and retention.

- [Teaching in Higher Education Travel Awards](#) support instructors to attend a conference related to teaching in their discipline or in higher education in general.

The [Obermann Center for Advanced Studies](#) provides development and networking opportunities for faculty artists and researchers who value interdisciplinary, collaborative, and community-engaged scholarly work. [Obermann initiatives](#) include the Book Completion workshop, Interdisciplinary Research Grants, Fellows-in-Residence, and the annual [Graduate Institute on Engagement and the Academy](#), which recently celebrated its tenth anniversary convening graduate students with a commitment to civically engaged scholarship.

The university also provides professional development resources through the Office of Teaching, Learning & Technology ([OTLT](#)). The OTLT [Center for Teaching](#) offers workshops, multi-day institutes, one-on-one consultations to support faculty in their teaching roles, and a number of faculty learning communities ([FLCs](#)). The Center also offers the three-year [Early Career Faculty Academy](#) to support early-career tenure-track assistant professors in teaching, research, and other faculty roles, and to help participants prepare for the third-year review.

The OTLT Enterprise Instructional Technology ([EIT](#)) team provides support specifically related to using instructional technology, particularly through ICON, the university's Canvas-based learning management system. (EIT also facilitates the university's participation in the Unizin network.) The OTLT Learning Spaces Team provides training to use technology in classroom spaces.

OTLT also provides course redesign support through the [Learning Design Collaboratory](#), integrating a team-based, data-informed approach to course design with a scholarly, reflective perspective on teaching and learning. The Collaboratory also includes opportunities to engage and network with peer faculty.

Additional support for faculty teaching courses that are fully online is available through the Distance and Online Education Instructional Development Team ([iDev](#)).

To support the development of graduate students in teaching roles, the OTLT Center for Teaching offers services and resources for graduate TAs, TA orientation, and a fully online TA Handbook. Additional resources to support teaching development of graduate students include the Rhetoric Professional Development Program (PDP), a series of workshops and weekly colloquia designed to provide mentoring and support for graduate students assigned to teach the strategically important GE Rhetoric course (see 3.B), and the Graduate Certificate in College Teaching offered by the College of Education for graduate students seeking preparation for the teaching roles of their anticipated faculty careers. The university also recently began participating in the CIRTL (Center for the Integration of Research, Teaching, and Learning) Network to provide additional professional development opportunities for graduate students interested in developing their teaching.

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3.D. The institution provides support for student learning and effective teaching.

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

The university offers a variety of services and courses that support a range of students.

The university coordinates several academic success, retention, and college transition initiatives (many of which are described extensively in 4.C.). Examples include:

- The Honors Program, which serves more than 3,100 undergraduates, provides high-achieving students with opportunities to enrich their academic experience through activities such as undergraduate research, helping them develop to their full capability.

- The Center for Diversity and Enrichment (CDE) provides programs and activities that support the ability of underserved students to thrive and succeed at the university.

- The Office of Graduate Inclusion provides community, professional development, and networking opportunities for graduate students from underrepresented populations.

- The Pomerantz Career Center assists students with career exploration and job-seeking support. It is also home to the Career Leadership Academy, a certificate program focusing on development of leadership skills and professionalism.

- International Student and Scholar Services (ISSS) provides leadership in the international education and intercultural learning through services to international students and scholars, their dependents, the university, and the surrounding community.

- ESL Programs support the academic success of international students through intensive English courses, credit-bearing English courses for admitted students, and TA Preparation in English (TAPE) for graduate students appointed to serve as graduate teaching assistants.

- Student-Athlete Academic Services (SAAS) offers academic and personal support services to student-athletes to assist them to make timely and satisfactory progress toward their degrees.

- Military and Veteran Student Services helps veterans adjust to a large public university and become contributing members of the campus community.

The university provides learning support and guidance to support student success in their courses.

Under the umbrella of New Student Services, University College offers three complementary programs to assist new students: Orientation, On Iowa!, and Success at Iowa. Orientation provides students an opportunity to meet peers, discuss academic and social challenges, and meet with an academic advisor to register for courses. On Iowa!, first implemented in 2011, is an extended immersion experience for new students that occurs the week before fall semester. Although not required, approximately 95% of first-year students and 30% of transfer students participate. The program utilizes more than 300 student leaders, dozens of faculty and staff from across campus, and more than 600 volunteers to help students become acclimated to campus. Success at Iowa, first implemented in 2015, is an online, credit-bearing course that supplements Orientation and On Iowa!. Content addresses important transition-to-college issues, as well as regulatory requirements related to the Higher Education Reauthorization Act, Title IX, and the Board of Regents, including sexual assault prevention, alcohol education, campus resources, academic integrity, and financial literacy.

Academic Support and Retention (AS&R) coordinates Supplemental Instruction (SI) for nearly 40 gateway courses that have been shown historically to be challenging for many students and to impact student progress toward a degree. The AS&R Annual Report shows that participation in SI has grown exponentially over the past three years, from 7,000 student visits in 2014-15 to 20,000 student visits in 2017-18. Participants demonstrate statistically significant gains in both academic achievement and persistence. Additionally, AS&R coordinates Tutor Iowa, a website designed to assist students in finding both university sponsored resources and private tutors. During 2017-18, nearly 2,600 students requested a tutor through the website.

University College offers several classes through College Success Initiatives to assist first-year and transfer students in their transition to the university and to help them develop skills necessary for college-level learning. For example, First-Year Seminars are one-semester hour, discussion-based courses with an academic focus, taught primarily by faculty, with a maximum of 18 students. These seminars are designed to facilitate the college transition and allow new students to quickly meet a faculty member and small group of peers who all share a common intellectual interest.

A study of first-year student retention found that various First-Year Experience programs were each associated with greater levels of persistence for different segments of the student population, but students who chose not to opt into any of the identified opportunities were retained at significantly lower rates than their peers who opted into at least one of them. For these reasons, the university continues to provide a variety of enriching educational experiences and monitor the various ways in which they contribute to student persistence, engagement, and success.

Centralized and collegiate advising offices work together to provide guidance and support to students throughout their academic programs.

Undergraduate academic advising at the university is designed as a two-tiered system. The first tier is the Academic Advising Center (AAC), whose advisors provide intensive, caseload-based advising to students declared in all 70+ majors within the College of Liberal Arts and Sciences, Open majors, and students who plan to apply for admission to undergraduate programs in other colleges.

First-year students first meet with their assigned advisor at Orientation. Advisors help them build schedules appropriate for their academic interests, goals, and preparation. AAC advisors expect to meet with students a minimum of three times in the fall and two times in the spring. Students are also encouraged to contact advisors for additional meetings whenever they have questions.

Since AAC advises for all potential undergraduate majors on campus, it is a "one-stop-shop" for first and second-year students who are exploring various academic programs. If a student's assigned advisor doesn't specialize in an

area they are interested in, the student can make an appointment with another AAC advisor or see an Advisor-On-Call. Advisors-on-Call are available each day during the busiest periods of the semester.

After the first year, or once a student declares a major, students are assigned to advisors within their college or academic department. Over the past five years, the university has prioritized hiring professional academic advisors for academic units throughout campus. The advisor assignment system through MAUI allows each student to be assigned to a primary and secondary advisor, making it possible for each student to have both a faculty advisor and a professional staff advisor. Professional advisors often work with students on the "nuts and bolts" of program requirements, while faculty advisors serve as mentors for students within the academic discipline, focusing on topics such as academic or career information within the discipline, research opportunities, independent study projects, and honors projects.

Students can find advisor name and contact information within MyUI, the student information system. Students can also use MyUI to build and register for class schedules, make multi-semester plans of study, and schedule appointments directly with their advisors. For the 2017-18 school year, 85,942 advising appointments were set up through MyUI by students.

AAC and advising units across colleges work closely together on campus wide initiatives. Examples of recent initiatives to which advisors have contributed include:

- Development of a curriculum planning system for students

- Creation of a unified notes system, making advising notes shareable across advisors and allowing professional and faculty advisors to offer a continuum of advising

- A universal advising appointment scheduler, replacing several different schedulers used by different units on campus. Students can now schedule appointments directly with their advisor through MyUI.

Advising staff across campus adhere to the professional standards of their professional organization (NACADA), CAS Standards for Academic Advising, and the Family Educational Rights and Privacy Act (FERPA).

Graduate students are advised by members of the graduate faculty; the Graduate College also makes advising and professional development opportunities available to graduate students, and provides resources for members of the graduate faculty to assist them in their advising roles.

The university provides infrastructure and resources to support teaching and learning.

The university has 300 general assignment classrooms on campus equipped with digital projection and /or Flat Panel TV display, a desktop computer, laptop VGA/Ethernet connections, UI Wireless wi-fi connectivity, and region-free DVD Players. The university maintains a network of learning spaces that are readily available to students throughout the campus. Among them are Instructional Technology Centers (ITCs) which provide more than 1,000 desktop workstations around campus for student use. UI Wireless provides wi-fi access throughout campus; participation in Eduroam makes wireless connectivity possible for students, staff, and faculty campus-wide and at any university in the Eduroam network.

Among the university's general assignment classrooms are thirteen technology-infused active learning classrooms, known as TILE (Transform, Interact, Learn, Engage). All TILE spaces provide configurations to support active student engagement, and most include technologies to expand engagement even further. The TILE initiative was launched in 2009, modeled on similar initiatives at North Carolina State and the University of Minnesota. Unlike these earlier initiatives that provided space for specific STEM disciplines at their institutions, TILE was designed to make these classrooms available as general assignment classrooms to any faculty member who completes TILE

Essentials training with the OTLT Center for Teaching, which prepares them to re-design courses, assignments, and class sessions in ways that make optimal use of the active and collaborative learning opportunities that are possible in these unique classrooms. TILE Essentials training recently celebrated its 500th participant. Assessments of the TILE initiative have shown the critical importance of partnerships that bring together central administration, faculty leadership, facilities planning, faculty developers, and instructional technologists.

Information Technology Services (ITS) supports the technology needs of students, employees, and visitors. ITS is responsible for strategy, planning, and delivery of information technology at UI. Since 2015 ITS has been developing and implementing a new strategy called OneIT@Iowa as part of the group of projects identified through the Transparent, Inclusive Efficiency Review (TIER) process initiated by the Board of Regents (see 5.A). Among the projects related to classrooms and collaboration spaces, OneIT@Iowa is working to centralize technology support for learning and collaboration spaces and to standardize classroom and computer lab technology in order to decrease cost and increase supportability.

The university provides infrastructure and resources to support scholarly and creative work.

As a leading research institution, the university has a significant number of centers and institutes where research is conducted. For example, the 11 buildings that form the Carver College of Medicine provide approximately 921,000 square feet of space devoted to core research facilities (including more than 280 state-of-the-art laboratories), education, and administration. Much of the research conducted throughout the university is interdisciplinary and facilitated through major research centers, institutes, and programs. The office of the vice president for research maintains a complete list of Centers and Institutes.

University Libraries constitute the largest library system in Iowa and 7th in materials expenditures among U.S. public research libraries. The Main Library, Hardin Library for Health Sciences, the Law Library, and branch libraries in Music, Engineering, Business, Art, and Sciences together contain more than 5 million volumes. The Libraries offer hundreds of databases, many with full-text access, and a powerful online catalog known as InfoHawk+. The Office of Research and Library Instruction offers one-on-one research consultations, chat and email reference, and access to subject specialists in 120 fields of study.

The Main Library offers a large flexible learning and study area, known as the Learning Commons, and reservable group study spaces. Other popular resources and services include the One-Button Studio, the LibAnswers knowledge database for after-hours help, SEAM (Students Engage at Main) research help especially for undergraduates, and the Graduate Student Study Room (access restricted to graduate students).

The university maintains four museums: the Old Capitol Museum, site of the original Iowa State Capitol, which houses public outreach activities, educational programming, exhibitions, and academic scholarship; the Museum of Natural History, which provides exhibits, education resources and programming, and research opportunities; and the Medical Museum, located at UI Hospital and Clinics, which presents exhibitions on advances in patient care from ancient times to the present day.

The 2008 flood made it necessary to temporarily relocate Stanley Museum of Art collections to other locations on and off campus, including the Iowa Memorial Union and the Figge Art Museum in Davenport, Iowa. The new facility, currently under development, will have 63,000 square feet total with 16,500 square feet of gallery space. It is expected to open in 2021/22.

The flood affected many other arts buildings, and the university worked to secure learning and performance spaces for the arts throughout the community while it worked to refurbish or replace the affected buildings:

- Art Building West (ABW) is one of the foremost examples of contemporary architecture on campus, with space for both studios and the academic study of art. The building opened in 2006, was flooded in 2008, and reopened for classes in January 2012.

- The Visual Arts Building houses departments of ceramics, sculpture, metals, photography, printmaking, and 3D multimedia. It includes studios, offices, and gallery space for faculty and graduate students. It opened in 2016 as a replacement for the 1936 Art Building that was destroyed in the flood.

- The Voxman Music Building, opened in October 2016, features acoustically isolated, flexible spaces for student, faculty, and guest musicians. It houses a music library, faculty studios, classrooms, rehearsal spaces, a concert hall, and a recital hall designed for student capstone recitals.

- Hancher Auditorium has hosted world-renowned artists since it first opened in 1972. After being forced to close due to flooding in 2008, Hancher continued to present artists at a variety of local venues while redoubling its commitment to education and outreach on campus and statewide. Hancher's new facility, designed by architect Cesar Pelli, opened its doors to the public on September 9, 2016.

The university provides infrastructure and resources to support student engagement, health, and wellness.

The Iowa Memorial Union (IMU) offers a central location for student activities. In keeping with its mission of "Developing leaders, creating connections, building community," IMU is the home of the Division of Student Life, office space for student organizations, free course-specific peer-facilitated tutoring sessions at the Academic Resource Center (ARC), and 15 meeting rooms available at no cost for student organizations and academic department events. Also damaged by the 2008 flood, IMU underwent a mitigation and recovery project that concluded in 2015 with the re-opening of the ground floor and the return of important student resources (such as the bookstore, food services, and a bank) to a single central on-campus location, as well as expanded student gathering and study spaces.

Recreation facilities are coordinated by Recreational Services within the Division of Student Life. In 2010, with the construction of the Campus Recreation and Wellness Center (CRWC), UI's indoor recreational facilities moved from the bottom of the Big 10 to one of the best in the country. CRWC is one of ten facilities operated by Recreational Services throughout the campus, with a range of programs and services that are available to students, faculty, staff, and the community.

Additional programs that support student health and wellness are described in 4.B.

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

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

Student Success at the university is a shared enterprise.

The Student Success Team (SST) was formed in 2006 as a grassroots collaborative of faculty, staff, and students who shared the goal of bringing greater institutional attention to issues that influence undergraduate success. One of SST's first efforts was to articulate a common definition that identifies student success as the shared responsibility of faculty, staff, and students. Since that time, SST has continued to serve as a think tank, networking hub, and incubator that has given rise to a number of institutional initiatives to support and engage students, including the IOWA Challenge and On Iowa!. SST Action Committees have made recommendations to university leadership that led to the creation of academic support initiatives and staff positions -- many of which are now situated in University College and the Office of Academic Support and Retention (see 4.C).

Jointly chaired by the vice president for student life and the associate provost for undergraduate education, the SST has been instrumental in creating a culture that recognizes that supporting student success requires institutional attention to student learning and development in and out of the classroom, in both curricular and co-curricular settings.

Enriching educational experiences contribute to student success both within and beyond the classroom.

The Extending the Classroom Report, based on the Senior Exit Survey, summarizes student engagement in five high-impact opportunities that take learning beyond the boundaries of individual classes. Overall, 86% of students report participation in at least one of these high-impact activities, and 62% report participating in two or more. Nearly two-thirds of graduating seniors report participating in an internship, practicum, or field experience during their time as undergraduates; half report participating in a capstone project or senior project that integrates learning from across their courses. Participation in study abroad, community-based service learning, and undergraduate research ranged from 25% to 29%. These rates have held steady or slightly increased over the last five years, while the number of students reporting no participation has steadily declined.

A census of high-impact activities required by departments revealed that student engagement in these activities exceeds rates of participation that would be expected if students were participating only when required for their majors. Even for capstone experiences, which are often required courses in the programs in which they are offered, participation rates suggest a significant number of students are initiating their own independent study, completing an honors thesis, or taking other non-required courses which provide similar integrative learning experiences.

In addition to the support provided by academic departments, these high-impact opportunities are supported by offices with staff specializing in each respective area. The Pomerantz Career Center provides support for students seeking internship experiences, and ICRU serves as a resource for facilitating undergraduate research opportunities. International Programs similarly serves as a resource for students seeking study abroad experiences. Service learning and community engagement are supported through a number of offices, and SERU data demonstrate the extent of student participation in community service.

Rates of voluntary participation in elective activities are one indicator of the value students place on these enrichment opportunities. Another indicator can be found in student descriptions of the benefits they receive from these experiences. In our 2016 SERU survey of all undergraduates, 2400 students responded to the open-ended question, "What is one of the most meaningful learning experiences you have had at UI?" Among the most frequent responses were those that described linking learning in one setting to experiences in another. These student voices underline the value that students place on academic opportunities that support integration of learning beyond their experiences in individual classrooms.

Co-curricular programs further contribute to the educational experience, development, and student success.

In addition to facilitating these academically enriching experiences, the university offers multiple opportunities for integrative experiences through co-curricular opportunities under the leadership of the Division of Student Life. The Division is organized to foster student success through inclusive, educationally purposeful services and activities within and beyond the classroom. The Division's fourteen departments include:

- **Direct service units:** University Counseling Service, Student Health, Student Wellness, Student Disability Services, Rape Victim Advocacy Program, Office of the Sexual Misconduct Response Coordinator
- **Involvement and support units:** Center for Student Involvement & Leadership, Women's Resource and Action Center, Office of the Dean of Students, Multicultural and International Student Support and Engagement
- **Auxiliaries:** University Housing & Dining, Recreational Services, Iowa Memorial Union, Student Life Marketing and Design

Across departments, the Division has identified three priority areas that are important aspects of student success, but are less likely to be directly addressed solely through a student's academic experience. These are:

1. Student leadership development (SLD)
2. Multiculturalism, diversity, and inclusion (MDI)
3. Health and safety (HS)

SLD initiatives include Iowa GROW®, LeaderShape, Alternative Spring Break, and student organization involvement. Examples of MDI initiatives include Cultural Centers, the Campus Inclusion Team, and the Black Student Success Initiative. HS initiatives include the Alcohol Harm Reduction plan, the Anti-Violence Plan, and bystander intervention training. Reports for many of these initiatives are available through the Division of Student Life Assessment Office. Some examples include:

Iowa GROW® (Guided Reflection on Work) uses brief, structured conversations between student employees and their supervisors to make student employment a high-impact activity -- one that requires students to reflect on their learning and connect their learning within and beyond the classroom. Supervisors in the Division of Student Life are expected to have two GROW® conversations with student employees each semester. Data collected yearly consistently show benefits for students who participate in work-academic connection conversations with their supervisors.

The Center for Student Involvement & Leadership (CSIL) coordinates more than 500 student organizations, leadership and service programs, and other opportunities for students to get involved on campus. CSIL's Alternative Spring Break (ASB) program promotes service learning, social justice, and community building. Participation in the program has grown dramatically since it began in 2013, when one team of 16 students traveled to Memphis. In spring 2018, 233 Hawkeye Service Team participants traveled to 16 locations across the United States. Each team addresses location-specific issues such as educational equity, hunger, arts in education, homelessness, and public health through a semester long course and seven-day service visit to the city.

The Black Student Success Initiative (BSSI) provides opportunities for Black students to connect and receive mentoring, academic, and career readiness support. BBSI creates early intervention plans to identify students who are struggling and provides faculty and staff development opportunities to learn more about effectively supporting Black students.

Further examples of initiatives and assessment within the Division of Student Life can be found in 4.B.

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

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

SUMMARY

The university maintains systematic support and oversight for programs that offer high-quality education, first and foremost through a commitment to supporting its faculty and staff. Through their leadership of programs and new initiatives, oversight of curricular and co-curricular offerings, participation in shared governance, and ongoing scholarly and professional development, faculty and staff develop and maintain a wide variety of educational opportunities that support student success and challenge students to excel.

Criterion 4 - Teaching and Learning: Evaluation and Improvement

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

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

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

Programs are systematically reviewed on a regular cycle.

Board of Regents Policy establishes that academic departments, programs, and colleges must be reviewed on a seven-year cycle. The university reports on reviews to the Regents annually, submitting a list of units reviewed during the year and a summary of main findings and recommendations for each unit. The 2018 list of reviews and main findings provides an example of this annual reporting process. The main objectives of these reviews are to evaluate how well departments, programs, and colleges are achieving their educational goals, identify main strengths and weaknesses, and propose strategic priorities for the future.

The Operations Manual specifies procedures for each review. The centerpiece of the review is the self-study, which identifies the goals of the unit under review, examines how different activities help achieve those goals, and identifies priorities for the future in view of likely demand, changes in enrollment, and financial constraints. A team of external reviewers then conducts the review based on the self-study, interviews with administrators, faculty, staff, and students, and examination of the role of the unit in relation to others at the institution. The completed review is submitted to the Office of the Provost, and the unit is invited to submit its response to the review with the materials that are sent to the provost. (These documents are also made available to faculty, staff, and students.) After reviewing these documents, the provost notifies the head of the unit with findings, recommendations, and required actions.

Recent department reviews provide examples of ways that the review process is used to affirm program quality, provide feedback on ways that programs are addressing current challenges, and offer recommendations for

improvements that will benefit students and maintain department strengths. Recent examples include reviews for departments of French and Italian, Political Science, and Psychological and Brain Sciences. Collegiate reviews have also been used to identify unique strengths and challenges faced by academic colleges, and have led to changes in organizational structures to streamline administration, build on strengths, and maintain commitments to student and faculty success. Recent examples include the College of Engineering and University College.

In addition to undergoing regular program reviews, more than 50 academic degree programs at the university undergo specialized accreditation, which typically includes an extensive self-study and site visit by external reviewers to examine program quality in relation to standards and expectations of the discipline. Educator Preparation Programs (K-12 teachers, administrators, counselors, psychologists, social workers, speech pathologists and audiologists, and teacher librarians) undergo similar review with the Iowa Department of Education every seven years. All programs with specialized accreditation or state-mandated review are in good standing with their respective agencies.

Academic support resources are available to all students, on and off campus, and at additional locations.

The university has policies and practices in place to assure quality of all credits recognized or awarded.

The university maintains a standard Credit Hour Policy defining expectations for credits awarded. Departments and colleges provide oversight for the quality of teaching and learning represented by those credit hours (see 4.B).

The statement of Professional Ethics and Academic Responsibility in the Operations Manual specifies that faculty have both the authority and the responsibility to clearly state objectives for their courses or programs, establish course requirements, set standards of achievement, and evaluate student performance. Policies and resources related to examining quality of courses are described in 4.B.

Courses are proposed by faculty through their departments and approved by the college, as illustrated by guidelines for course approval in the College of Education and the College of Liberal Arts and Sciences (CLAS). The College of Engineering curriculum committee report provides an example showing faculty responsibility for developing and monitoring the curriculum. CLAS guidelines for proposing a new major further demonstrate that faculty are responsible for curriculum, including course offerings, identification and sequencing of pre-requisite and major courses, faculty qualifications required to offer the program, and plans for assessing student learning in the major. Through the Undergraduate Educational Policy and Curriculum Committee (UEPCC), CLAS faculty advise the dean's office on decisions and policies pertaining to courses, programs, and the educational mission of the college.

As noted in 1.A, new programs must be approved by the college and the Office of the Provost, and then taken to the Board of Regents for final approval. Proposals for certificate programs undergo a similar process of review by the department, college, and Office of the Provost, as evidenced by CLAS and Graduate College policy guidelines; certificate programs that are transformed into major programs also undergo Board of Regents review, like all other new major programs.

The university recognizes Credit by Examination. Faculty have established policies such as credit for Advanced Placement (AP), International Baccalaureate (IB), College Level Examination Program (CLEP), and Cambridge International Examinations (CIE). Colleges may also initiate and determine departmental exam credit. Examples are the Furthering Language Incentive Program (FLIP) and Mathematics Incentive Program (MIP).

Credit for military coursework is granted according to guidelines in the American Council on Education (ACE) Guide to Credit for Educational Experiences in the Armed Services. The university accepts military credit with both lower- and upper-division baccalaureate-level credit recommendations. Colleges also review for possible equivalencies and/or general education credit.

The university has established transfer credit policies that are available for prospective and current students online, including policies for students transferring with Associate of Arts and Associate of Science degrees. Policies are also available in the General Catalog and Student Handbook. The Iowa Board of Regents publishes transfer agreements that have been made with Iowa community colleges.

Trained credit evaluators in the Office of Admissions determine course equivalencies for some lower level and prerequisite courses as well as courses that apply toward general education requirements. Admissions works with departments to determine what key components to look for, and more detailed syllabi are required for some evaluations. The university utilizes tools provided by CollegeSource to facilitate awarding of transfer credits: course descriptions are available to staff through the Transfer Evaluation System (TES). Course evaluation decisions are then entered into the uAchieve transfer course database, which currently has over 100,000 course evaluation decisions, to help assure consistency. Students can also access Transferology to see what courses at other institutions may be equivalent to University of Iowa courses.

The university oversees the quality of courses, programs, and faculty who teach them.

Through proposal and review procedures described in 3.A, 3.B, 4.B, and elsewhere in 4.A, the university maintains authority and responsibility for the quality of its courses and programs. The Operations Manual specifies faculty qualifications and procedures for verification of credentials at time of hire, described in 3.C. The university does not offer dual-credit courses or other secondary school programs that award postsecondary credit.

The university examines the success of its graduates.

The 2008 HLC Visit Team Report encouraged the university to undertake a more centralized, coordinated effort to track the success of graduates. Since that time, the Pomerantz Career Center has been charged with gathering first destination data for all undergraduate degree recipients. Information is gathered from graduates up to six months following graduation, following guidelines of the National Association of Colleges and Employers (NACE). Using a combination of online and phone surveys, the university typically receives first destination information from 75% of recent graduates.

Post-baccalaureate placement rates include full-time or part-time employment, pursuing further education, volunteer work, entrepreneurship, and other (such as Peace Corps or Military Service). The overall placement rate is nearly 95% for undergraduate degree recipients.

Reports of First Destination Data are available to campus users in an interactive dashboard that allows them to easily access and explore the data, making it possible for departments to identify patterns of employment and seeking further education for their graduates. The dashboard provides information going back to 2012-2013, up to the most recent year. Prior to dashboard creation, electronic reports were sent to each dean and department head for dissemination. A second version of this dashboard is currently being created to offer this information to prospective students.

Pomerantz is currently reaching out to graduates five years post-graduation in an attempt to gain a longitudinal view of graduates with a focus on employment, continued education, location, and future goals.

Post-baccalaureate programs similarly monitor post-graduation success of their students. Public Health, for example, monitors both professional placement and post-graduate perceptions of degree programs; Pharmacy monitors Licensure Exam performance and professional placement. Examples from Law and MBA Programs also demonstrate monitoring post-graduation outcomes for students in their programs.

The Graduate College offers persistence, completion, and initial placement data for students in PhD programs. The Graduate College uses this information both to assure that programs are supporting successful degree

completion and to identify programs that need to be examined further to determine where improvements are needed.

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

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

Assessment at the university is guided by Patton's [Utilization-Focused](#) model, summarized by [Beld](#) as "focusing on intended users and uses" with a strong emphasis on "assessment findings as a means to an end, not as ends in themselves." Following [Walvoord](#), we have defined assessment as "systematic collection of information about student learning using the time, knowledge, expertise, and resources available, in order to inform decisions that affect student learning." Guided by these scholars of higher education assessment and evaluation, the university's [Guiding Principles for Assessment](#) specify that university assessment efforts are to be department-led, shaped by each department's particular needs and intended uses for the information they collect about student learning and experience.

As such, assessment is implemented at multiple levels and stages throughout the university, customized for the contexts and purposes of the units who make decisions based on the assessments they conduct. The university's goal is to centrally support a sustained commitment to collecting and using evidence of student learning as a basis for ongoing improvement throughout the university's courses and programs.

This approach represents a change since the university's previous comprehensive HLC review, which confirmed the need for more institutional coordination and support for assessment. The [Office of Assessment](#) was created in 2009 to support annual collection and use of assessment data in undergraduate academic programs, and to begin coordinating campus-wide efforts to make better use of student learning and experience data. The Office was expanded in 2013 to provide support to department efforts to [use institutional data](#) on student enrollment and progress through their programs.

Learning outcomes for undergraduate programs are determined by departments, and departments provide annual updates on their efforts to assess and improve their programs.

In each department, assessment is designed to reflect the nature of the discipline, the structure of the program, and the questions faculty members have about student learning. [Updates on department assessment efforts](#) are collected annually by the Office of Assessment. Each department provides a summary of assessment activities since the previous year, lessons learned or actions taken, and plans for the following year. Examples of annual updates are attached for a cross-section of departments, including those that integrate their annual updates with their specialized accreditation efforts ([Accounting](#), [Chemistry](#), [Journalism and Mass Communication](#), and [Therapeutic Recreation](#)) and those that carry out annual assessments independent of external accrediting bodies ([Environmental Sciences](#), [Japanese](#), [Geographical and Sustainability Sciences](#), and [Communication Studies](#)).

Annual Campus Assessment Summaries provide [examples of assessment procedures](#) used by departments, which include review of senior capstone projects, signature assignments, surveys of alumni and employers, and surveys or exit interviews with graduating seniors. [Examples of changes made by departments](#) on the basis of assessment

include re-design of intro-to-the-major and senior capstone courses, modification of prerequisites, development of new courses, and faculty development related to assignment design. When asked in 2018 to identify departmental changes prompted by annual assessment findings, departments identified changes to courses and curriculum, creation of increased learning opportunities for students, greater levels of quality assurance, and increased levels of collaboration among faculty on matters related to teaching. Insights and examples from 21 undergraduate programs are cited on pp. 2-4 of the 2018 Assessment Summary.

Annual updates demonstrate that all academic programs have an assessment program in place with individuals assigned to coordinate efforts; faculty members in nearly 90% of programs meet together to review findings and use them to improve programs. This level of engagement in assessment represents a significant change since the Office of Assessment was established in 2009. At that time, a review of learning outcomes assessment in academic programs revealed that nearly one-third of departments did not have plans in place for program-level assessment, or did not have department leadership for assessment in place; faculty members in only about one-fourth of programs were working together to regularly assess program-level outcomes and make program improvements as warranted by data.

As this annual cycle of assessment reports has become institutionalized, the proportion of departments represented at each level of involvement in assessment has remained relatively stable (as shown in Figure 1 of the 2018 Assessment Summary). However, departments represented at each level of engagement have changed as some departments have increased their level of involvement, while other newly launched degree programs have not yet fully implemented an assessment cycle. This annual update process operates in coordination with institutional systems for academic program review, specialized accreditation, assessment of GE and first-year-experience programs, and Graduate Council review of graduate and professional programs (described in 3.A, 3.B, 4.A., and elsewhere in 4.B).

Within departments, course-level continuous improvement is maintained by faculty who teach the courses. In response to Iowa Code Section 262.9(36), the university began centrally monitoring forms of continuous improvement in large undergraduate courses (more than 100 students enrolled annually). Documentation of these procedures, reported annually to the Board of Regents, shows that on average faculty in these courses employ 4.3 distinct continuous improvement strategies per course, including systematic review of student work, regular meetings with TAs to discuss student progress, and both midterm and end-of-course student feedback. This documentation of course-level faculty practices is collected annually by departments, along with examples of how departments have used assessment findings to improve courses. Documentation is reported to colleges, compiled by the Provost's Office, and submitted to the Board of Regents.

The university works to assess and improve gateway and GE courses, many of which are designed to serve students outside the course's home department.

Data collected through student records and student surveys have helped identify high-risk courses and provide additional support for students in these courses, including Supplemental Instruction (SI). Further review of outcomes data for SI participants has led to increasing the number of courses supported by SI, and also to the development of new models for providing more structured support for students in high-risk course combinations, such as those concurrently enrolled in College Algebra and General Chemistry, and students in high-stakes entry-level courses, such as Rhetoric.

The university has made strategic use of learning analytics tools to assess and improve student success in high-stakes gateway courses through the development of the Elements of Success platform. This platform provides guidance and feedback to students based on their interactions with online course materials and performance on assignments and tests, developing their awareness of steps they can take to learn more effectively in the course. This initiative, originally developed and piloted in General Chemistry, has expanded to Principles of Chemistry 1 & 2 and to foundational courses in Biology, Economics, Human Physiology, Engineering, Anthropology, Computer Science, and Mathematics (a total 16 courses in eight departments as of fall 2018).

GE courses are assessed on a regular basis by faculty who teach the courses and by the GE Curriculum Committee (GECC). Before a course can receive GE status, the course proposal must be reviewed and approved by GECC following processes outlined in 3.B. To maintain GE status, approved courses are reviewed by GECC on a regular cycle. For the review, GE faculty are asked to provide a report demonstrating how well the course supported achievement of GE outcomes, along with a portfolio of course materials and assessment data from at least two sources to support their conclusions (described in 3.B and in GE Assessment Guidelines). A recent example of this process can be seen in materials submitted for assessment of Quantitative and Formal Reasoning courses.

Assessments of courses that meet GE requirements in Rhetoric, Interpretation of Literature, and World Languages have been undertaken as program-wide reviews by departments offering these courses. These reviews have examined samples of student work, sequencing and design of assignments, and student perceptions of courses. Reviews of Rhetoric and Interpretation of Literature were undertaken as year-long investigations led by a committee of faculty, college leadership, and graduate TAs with experience teaching the courses. The review of World Languages (currently underway) has been carried out by a Division-wide committee with representatives of each language department. In the case of Rhetoric, for example, GE review led to improvements in the support provided for newly appointed graduate student instructors assigned to teach the course, as well as more formal recognition and support for experienced faculty assigned to serve as mentors to new instructors (in addition to their regular course loads). The Academic Program Review of the Rhetoric department, three years after the GE review of the Rhetoric course, shows that Rhetoric faculty have undertaken an annual assessment cycle within the department in order to maintain an emphasis on continuous improvement related to each of the central outcomes for the course.

The university invites students to contribute to the assessment of teaching quality.

Courses are assessed by students using ACE (Assessing the Classroom Environment), an online student ratings system. This customizable student ratings system allows questions to be assigned by colleges (for example, common questions for all CLAS courses, or all courses assigned to a GE category), and also by departments and individual instructors. The Biology department, for example, developed its own set of questions to collect student perceptions of specific course characteristics, and to prompt students to reflect on their own learning using questions modeled on SALG (Student Assessment of Learning Gains). Instructors in the Big Ideas initiative also chose to develop questions addressing the unique features of interdisciplinary team-teaching in a technology-enriched active-learning classroom. Like other forms of assessment at the university, ACE allows those who are making decisions about courses to focus assessment on issues that will be most relevant to their questions and needs for data.

The ACE system transitioned from paper to fully online administration in 2015. In response to faculty concerns about response rates, ease of administration, and appropriate interpretation of data, the Office of the Provost launched an institutional Task Force to review research and best practices for both (1) collecting and compiling student perceptions of teaching and (2) interpreting and using student ratings. With representation from all colleges that use the ACE system, graduate and undergraduate students, and administrative offices that support teaching, this Task Force will seek to improve both the quality and the use of student ratings data in order to improve teaching and learning.

The university regularly collects data on the first-year experience and uses it to support student success.

For an integrated assessment of first-year student experiences (academics as well as residential, co-curricular, and overall transition to college), the university began implementing MAP-Works as an early intervention tool in 2012; after 4 years, university leadership determined that students would be better served by a homegrown tool which would allow greater control over survey design and analysis. This decision led to creation of the Excelling@Iowa system in 2016. The 2018 AS&R Annual Report shows that 521 faculty and staff partners logged more than 53,000 individual contacts with 7000 students (new first-year and transfer students and all students in TRiO Student Support Services); 100% of these students received personal outreach from faculty or staff based on issues

identified in survey responses (such as difficulty in a course, mental health concerns, or financial challenges) or on retention prediction metrics developed by Biostatistics faculty in the College of Public Health. Among those contacts, 493 referrals were made to support teams or campus resources for students identified as struggling through the Excelling@Iowa platform.

To further assess student experiences within and beyond the first year, the university began implementing the Student Experience in the Research University (SERU) survey in 2013. All degree-seeking undergraduates are invited to take the survey, which asks about academic satisfaction and engagement, sense of belonging, campus climate for diversity, financial concerns, and other elements of student experience. Disaggregated responses are reported to academic departments (see for example reports for Biochemistry and English); SERU has also been instrumental in gaining a more specific understanding of the differential experiences of first generation, low income, and underrepresented racial/ethnic minority students.

SERU findings have been used to shape further initiatives by the First Gen Task Force, the Office of Student Financial Aid and Employment, and the Chief Diversity Office. SERU has provided a basis for creating professional development resources in collaboration with the OTLT Center for Teaching and the Division of Student Life. The university has used the institution-specific portion of the SERU instrument to gain campus-wide student perspectives on issues such as experiences in online and blended courses and perceptions of the Learning Commons.

Senior Exit Survey data have been used to help the university gain a consistent longitudinal understanding of student participation in high impact learning opportunities and to identify distinct experiences of different student populations such as First Generation students. These findings have provided a basis for strategic planning, allowing the university to set goals for increasing student participation in these types of experiences. Disaggregated reports of Senior Exit survey data are provided to colleges (such as Business) and departments (such as History) in order to provide a basis for their efforts to promote these opportunities (such as the Tippie RISE Initiative and History department efforts to increase experiential learning).

The university is committed to continuous improvement of the student experience outside of academic courses and programs.

The Division of Student Life seeks to create a culture where assessment results are utilized on a regular basis to improve programs and services offered in the Division. The associate director for assessment and strategic initiatives coordinates assessment across each of the fourteen departments within the Division. Each department has an assessment coordinator who provides leadership for assessment within the department and coordinates with the associate director. Coordinators serve on the Division's Assessment Council, which provides oversight for assessment across the Division, creates assessment professional development opportunities for division staff, and supports the creation of the Division Annual Report.

Assessment coordinators provide leadership for program review within the Division. Programs are reviewed every five years, providing an opportunity for departments to take a comprehensive and critical look at the unit, identify strengths and weaknesses, and outline plans for future action. Recent examples of reviews include Student Health and Wellness (2016) and the Dean of Students (2018). In 2017, the Office of the Vice President for Student Life updated this process to include external review by experts in the field as part of each program review.

The Division actively uses assessment data to improve the student experience. For example, the University Counseling Service (UCS) engages in repeated outcomes measurement by asking every student who comes for service to complete a mental health symptom assessment at each appointment. Over 7500 assessments have been collected, which allow UCS to make informed decisions on what types of services to offer, how often to offer services, the number of counseling sessions needed, and in what areas staff members could benefit from additional and ongoing training.

The Division also provides leadership for assessment of campus-wide initiatives. For example, the current Alcohol Harm Reduction Plan was developed in the spring of 2016 by the Alcohol Harm Reduction Advisory Committee. The plan spans from 2016-2019 and outlines a comprehensive list of evidence-based strategies that effectively address high-risk drinking, including educational and early intervention initiatives, policies that decrease easy access and availability of alcohol, strong and consistent enforcement of alcohol laws and campus policies, and changing messages students receive that suggest high-risk drinking is a normal or expected part of student life. Annual assessments show that progress has been made in changing the culture at UI, including a 28% decrease in reported high-risk drinking rates.

The Division also provided leadership and coordination for the Speak Out Iowa survey. Data from this student survey contributed to the creation of the Anti-Violence Plan, which articulates the university's priorities and helps coordinate efforts around sexual harassment, sexual violence, dating violence, and stalking prevention. The plan identifies goals and strategies for prevention and education, interventions, and university policy, and provides a framework for assessing future progress in each of these areas.

Further examples of initiatives and assessment carried out through the Division of Student Life can be found in 3.E. and at the Division of Student Life Assessment Reports site.

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

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

The university sets goals and seeks to improve retention, persistence, and degree completion.

The 2009 Strategic Task Force on Undergraduate Education and Success was charged with addressing concerns about undergraduate persistence and completion, and creating a plan to meet institutional goals of (1) increasing first-year retention and six-year graduation rates by 5% and (2) increasing the enrollment of the first-year class from 4,000 to 4,500. Additional resources were allocated towards recruitment, as well as student success initiatives outlined below. The university met these Task Force goals by the end of the 2010-2016 strategic plan.

To maintain these priorities going forward, the university identified student success as a central pillar of the 2016-21 strategic plan, setting a goal of increasing the four-year graduation rate to 60% and seeking to eliminate gaps in success for first-generation, underrepresented, and nontraditional students. The strategic plan was approved by the president and Board of Regents in 2016.

The university collects and analyzes information on student retention, persistence, and completion.

The university monitors persistence and completion for both internal analysis and external annual reporting to the Board of Regents. Data are disaggregated by financial aid recipients, admission criteria, ethnicity, residency, and gender.

The university utilizes the Integrated Postsecondary Education Data System (IPEDS) to characterize the student population, persistence, and completion in ways that are internally consistent and readily comparable with peer institutions that also serve large populations of first-time first-enrolled undergraduates who enter with the intention of completing at the same institution.

Persistence and completion rates of doctoral students are monitored by the Graduate College (noted in 3.A and 4.B). This information is used by the Graduate College to identify programs that are Commendable, Sustainable, or Requiring Significant Change, to guide curriculum modifications, and to support professional development opportunities for graduate students.

The university is guided by best practices for monitoring student persistence and completion, and makes institutional improvements as warranted.

During the last decade, the university invested significant resources in initiatives to improve student success. In 2009, the Student Success Team (SST) made several recommendations that resulted in using University College as a collegiate structure for overseeing undergraduate success initiatives. The report recommended creating an immersion experience for entering students, which was launched in fall 2011 as On Iowa!, expanding the First-Year Seminar (FYS) program, which currently offers over 130 discussion-based, topical courses for first-year students, and offering more options for students interested in a living-learning community.

That same year, another SST committee recommended that the institution implement an early intervention system and cross-functional team to identify and assist at-risk students. This resulted in the creation of the office of Academic Support & Retention (AS&R) and an Early-Intervention Team (EIT) which assists hundreds of students each year with high-risk needs.

To help identify students who might be struggling, the university has all new undergraduates complete the Excelling@Iowa transition survey (noted in 4.B) as an assignment during Success at Iowa, a required first semester course designed to support the transition to college. Because the survey is tied to an assignment in an academic course, response rates are typically 98% or higher, providing student transition data for nearly all first-year and incoming transfer students. The Excelling@Iowa platform integrates survey responses with institutional data, such as student demographic profiles and midterm grade reports, in order to create a retention predictive score that is used to identify students for additional outreach by over 30 offices and every college that serves undergraduate students.

Based on analysis of institutional data related to courses with high DFW rates, AS&R began piloting Supplemental Instruction in challenging undergraduate courses. The program has since expanded to support over 20 unique courses and receives over 20,000 student visits per year. AS&R also oversees Tutor Iowa as a resource for students seeking academic support (including private tutoring, information about academic success strategies, and workshops). Academic support provided by the Rhetoric Centers (Writing, Speaking, and Conversation) also makes important contributions to undergraduate success.

Significant and persistent gaps in retention and graduation rates for first-generation, low-SES, and underrepresented racial/ethnic minority students prompted the university to focus its HLC Quality Initiative on supporting students in these groups. Through the Quality Initiative, the university assessed existing student success programs, piloted new initiatives, and launched the First Gen Task Force, a joint faculty/staff committee charged with mobilizing faculty and staff to more effectively support first generation students that they interact with. Continuing commitment to supporting these students is demonstrated through the 2016-2021 Strategic Plan and decisions to join the American Talent Initiative (ATI) and the APLU Transformation Cluster Initiative, both of which reflect multi-institution collaborative efforts to increase levels of success for students in groups known to be at risk of not completing a degree.

Graduating seniors are asked to complete a Senior Exit Survey (described in 3.E), and First Destination data (described in 4.A) are collected annually to help the university better understand student post-graduation experiences. Undergraduates withdrawing from the institution during the semester are required to complete an exit survey and to meet with AS&R staff in person or by phone. New first-year and transfer students who have not registered for the next term are called by AS&R staff and asked to identify reasons they are not returning to the institution. These responses create opportunities for further outreach and support to students, and allow the institution to monitor primary reasons that undergraduates leave the university without completing a degree.

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- Success_Task_Force_Undergraduate_Education
- Success_UCOL

Criterion 4 - Teaching and Learning: Evaluation and Improvement

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

SUMMARY

The university maintains responsibility for the quality of educational programs through a variety of integrated, complementary systems, including:

- Periodic comprehensive reviews of departments, colleges, and co-curricular programs.
- Unit-based annual updates on teaching, learning, and continuous improvement in academic and co-curricular programming.
- Cross-unit assessment of GE and high-stakes gateway courses, first-year experiences, and transition to college.
- Regular monitoring of student engagement, success, and post-graduation outcomes.

Through sustained implementation of these distributed systems, the university maintains commitment to systematic collection and use of assessment evidence by the units that are directly responsible for assuring program quality and for making decisions about future program development.

Criterion 5 - Resources, Planning and Institutional Effectiveness

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

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

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

The university's fiscal, physical, and human resources enable it to educate 33,000 students in more than 300 bachelor's, master's, doctoral, and specialist degree programs, conduct $554 million in sponsored research (including UI Center for Advancement monies), support faculty scholarship and creative activities, provide healthcare through more than 1 million patient visits, participate in a full array of athletic programs, and enrich the lives of individuals and communities in Iowa and across the globe through myriad outreach and engagement programs.

The resource base that enables the university to fulfill its multifaceted mission changes over time, and various components of the mission rely on specific kinds of financial support. The instructional mission, for example, relies on the university's general education fund (GEF); the research mission relies on various funding streams, including federal basic science funding, Center for Advancement support, and philanthropic organizations; health clinics rely on a mix of government and private insurer reimbursement; athletics relies on philanthropy and on ticket and broadcast revenue. Many of the facilities that house university programs rely on philanthropic support, and auxiliary enterprises rely heavily on user fees.

The university recently created a short video that describes GEF and non-GEF budgets, noting that GEF revenue helps determine how much money the university has to spend on student services, financial aid, faculty and staff salaries, and facility maintenance. The video also provides important budgetary context, illustrating the dramatic decline in state support over recent decades. In FY 1990, 64.3% of the university's GEF came from state appropriations; in FY 2019, the percentage is 28.8%.

The effort to plan for programmatic change and improvement is also multifaceted, and differs by college. For example, the Tippie College of Business (TCOB) generates significant tuition revenue and TCOB faculty produce scholarly research, but they do not conduct a large amount of sponsored research. The Carver College of Medicine (CCOM) has a varied resource base including tuition revenue as well as significant direct and indirect cost returns for their sponsored research, and income generated through the provision of clinical services at the UI Hospital and Clinics (UIHC). Each college has a unique set of programs and resources, and must develop a tailored plan to sustain and improve programs.

The university has implemented a new budget model to facilitate effective planning, increase transparency, encourage collaboration, and ensure that academics are at the center of resource allocation decision-making.

To address perceived issues regarding transparency and predictability with GEF resource planning, the university began a process to create a new GEF budget allocation model. In April 2016, 70 campus leaders (students, faculty, staff, collegiate administrators, and central administrators) met with the president to discuss resource management. They developed the following "guiding principles" to be used in managing future GEF budgets and to ensure their alignment with strategic priorities -- *i.e.*, to form a "bridge" between the budget and the university's mission (via the strategic plan):

1. Student Success
2. Quality Indicators (sustainable improvements in national peer rankings such as AAU)
3. Our Values (strategic investment in core missions and areas of excellence and opportunity)
4. Our Future (benefit to the state and beyond)

In conversations that followed that initial meeting, campus leaders also developed the following principles to guide the development of a new model:

*   Implementation transparency
*   Predictability
*   Stability in an unstable fiscal context
*   Shared decision-making to address institutional challenges
*   Innovation and collaboration to increase revenues
*   Sustained and growing excellence in education and scholarship

The initial concept for a new model was presented in January 2017, and a first draft of the Collegiate Economic Analysis (CEA) that would be used to drive future budget allocations was shared in spring 2017. In fall 2017, the provost led the collegiate deans in a review of the initial CEA, with the goal of ensuring that the model was addressing collegiate needs for improved resource planning, predictability, and transparency. This led to a revised version of the CEA and budget allocation model by the end of that semester.

Throughout the budget development process, the provost worked closely with the president, leaders of the financial management team, and other campus leaders. In spring 2018, new drafts of the CEA and budget allocation model were reviewed and discussed with representatives of university shared governance. The model was adopted in its current form for a two-year period (fiscal years 2019 and 2020) and will be evaluated for potential changes effective FY 2021 (see below).

The budget allocation model includes the following important features:

*   Each unit's budget must be balanced every year.
*   The new model does not redistribute funds already allocated to colleges and campus units; instead, the model guides the management of changes in revenue or state appropriations. Incremental changes in a college's net tuition (tuition revenue base less student financial aid) are shared, 70% to the college and 30% to central service units.
*   Tuition revenue for new programs that are within their first two years, increments in tuition supplements, and indirect cost recoveries are not subject to sharing with central service units (*i.e.*, are not included in the tuition revenue base for purposes of the above calculation).
*   Changes in state appropriation are distributed 60% to the Office of the Provost/colleges, 40% to central service units.

Additional important characteristics of the model include review of central service budgets, the creation of a Budget Review Board, the creation of a Provost Investment Fund, and ongoing evaluation.

Advisory Committees

In May 2017, seven "Central Services Review" committees were formed to provide an opportunity for deans, collegiate business officers, shared governance leadership, and other university leaders to learn more about the services the vice-presidential units provide to the campus at large. The ultimate goal was to ensure that deans and others understand how services from central units support teaching, research, and service. The committees submitted reports to President Harreld in spring 2018, summarizing the scope of the discussions.

Moving forward, the committees have been reformulated as six Advisory Committees charged with establishing an ongoing review of unit business, and with assessing and prioritizing proposals for operational cost savings or increases and submitting those proposals for consideration by a newly formed administrative Budget Review Board, described below. In assessing proposals, the committees are guided by the four principles of *Student Success*, *Quality Indicators*, *Our Values*, and *Our Future*. Committees meet several times annually. Committee membership includes two deans (as co-chairs), one or more *ex officio* functional experts, and two representatives of shared governance.

Areas of focus for Advisory Committees are:

1. President's Office, Strategic Communications, Human Resources (HR), General Counsel, Finance & Operations
2. Facilities Management
3. Information Technology Services
4. Provost - Academic & Outreach Services
5. Student Services
6. Research

Budget Review Board

The Budget Review Board (BRB) comprises the President's Cabinet, the Council of Deans, and leaders of shared governance groups. The BRB meets three times a year to review annual revenue projections, hear reports from the Advisory Committees regarding the operation of central service units, discuss and recommend to the president additional allocations beyond the mandated revenue sharing amounts that may be needed by central service units to improve support operations, and recommend to the president the final GEF budget.

Provost Investment Fund

The Provost Investment Fund will provide non-recurring GEF dollars to support new or to accelerate existing academic initiatives. These initiatives should be innovative, aspirational, and linked to the university strategic plan and/or the AAU metrics. Proposals that are interdisciplinary will receive priority. Funding may be requested to cover expenses for up to three years. Proposed initiatives are expected to be sustainable through the generation of new resources or reallocation of resources after the start-up period. Annual reporting of specific measurable benchmarks will be required throughout the funding period in order to monitor progress and ensure success. Proposals will be reviewed by the Council of Deans, who will make funding recommendations to the provost.

Budget Model Evaluation

The adoption of a new budget allocation model represents a significant change to university resource management. The success of the effort will be evaluated as implementation moves forward. In November 2018,

collegiate deans and administrative leaders created a timeline for reviewing initial implementation of the budget model and identifying areas for potential improvement. Changes that are adopted will take effect in FY 2021.

University expenditures are monitored internally and externally to ensure spending aligns with resources and with stated goals.

The university produces three reports annually that highlight its resources and how they are used. The Comprehensive Fiscal Report to the Board of Regents highlights changes between actual revenue and expenditures and budgeted revenue and expenditures. The Financial Report (publicly available on the university web site) highlights important changes in university programs and resources used to support them. The June (fiscal year-end) Department of Management Report to the State of Iowa provides an all-fund look at budgeted and actual resource use.

The Office of Internal Audit submits completed internal audit reports to the Board's Audit and Compliance Committee quarterly. In accordance with Board of Regents policy, the university annually compiles and submits a summary review of internal audits completed in the previous four fiscal years, and a plan for audits in the coming fiscal year.

The federal standards outlined in the Uniform Guidance (Subpart F - Audit Requirements) help federal funding agencies conduct consistent audits of state and local agencies and non-profit organizations, including universities, that are receiving and expending federal funding awarded through grant and contract awards. The university must undergo a single audit of both the financial statement and federal awards whenever federal expenditures total $500,000 or more for a given year. The scope of the required audit includes financial statements, internal controls, and compliance. The Office of Auditor of State for the State of Iowa produces the annual Single Audit Report.

The Office of the Senior Vice President for Finance and Operations (SVPFO) works with the campus annually to ensure year-end expenditures balance with revenues. SVPFO submits a year-to-date financial report to the Iowa Department of Management monthly.

The university remains in a strong financial position to support its mission and operations, after navigating the significant physical and fiscal challenges posed by the historic flood of 2008.

In June 2008, historic flood levels affected more than 20 university buildings comprising 2.5 million square feet, or nearly one-sixth of campus. Recovery from the flood has significantly influenced physical and fiscal operations throughout the past decade. Approximately $700 million -- including funding from the state, university, federal government, private insurers, and private gifts -- has gone into repairing and replacing campus buildings and other flood-related costs.

Despite the major fiscal shock caused by the flood, the university's financial status has remained strong. According to the Financial Report for FY 2018, as of June 30, 2018, the university held assets of $6,732 million and liabilities of $2,434 million as compared to June 30, 2017 assets of $6,464 million and liabilities of $2,319 million. Net position -- the difference between total assets plus deferred outflows of resources and total liabilities plus deferred inflows of resources -- increased by $132.3 million (3.2%) between FY 2017 and FY 2018. The increase from June 30, 2016 to June 30, 2017 was $144.1 million (3.6%). Recent financial results have enabled the university to maintain strong credit ratings by Moody's (Aa1) and Standard & Poor's (AA), both with a stable outlook.

Endowment funds are created by gifts from generous donors and are invested in perpetuity, with the payout providing a steady and predictable source of future revenue for the university. Endowments support a range of priorities, including scholarships, faculty positions, and research, among many others. Investment of the endowment is managed by the UI Center for Advancement, with oversight by its Board of Directors Investment Committee. This Committee is responsible for guiding the investment program, seeking maximum total return

consistent with the preservation of principal, diversification, and avoidance of excessive risk. At the end of FY 2018 endowments exceeded a combined total of $1.5 billion.

Overall funding for research and other scholarly activities in FY 2018, including grants from federal agencies and contracts for research-related work (including the State Hygienic Lab) declined 2%, or $8.6 million, over FY 2017 for a total of $434.5 million. Total external funding, which includes Center for Advancement monies, declined 1%, or $3.7 million, for a total of $554.0 million. However, the university experienced an increase in *federal* funding for research and in the number of proposals, grants, and contracts awarded in FY 2018. The National Institutes of Health (NIH) granted medical and healthcare researchers 29%—or $40 million—more in FY 2018 than in FY 2017. NIH support in FY 2018 was the highest since 2012, when funding from the American Recovery and Reinvestment Act ended. NASA funding was also strong in FY 2018, with researchers in the Department of Physics and Astronomy securing $8.8 million in funding, up 40% or $2.5 million over FY 2017.

Physical facilities serve 33,000 students, a large research enterprise, and one of the nation's most advanced and comprehensive university-owned hospitals.

In addition to faculty, staff, and students, well over a million visitors come to campus annually for healthcare, cultural and athletic events, exhibits, conferences, and educational programs.

As of the most recent Facilities Governance Report to the Board of Regents, the university campus comprises 1,977 on-campus acres and 134 off-campus acres (including Iowa Lakeside Laboratory in northwest Iowa and the John & Mary Pappajohn Education Center in Des Moines).   The university has 20.97 million gross square feet of building space and 8.77 million gross square feet of GEF building space.

Optimal space utilization

Efficient utilization of campus space is realized through a collaborative approach that integrates various academic and facilities-related issues and aligns decisions to institutional objectives. To balance current space needs and align them with long-range goals, decisions about space are regularly reviewed and coordinated with the current Campus Master Plan.

Finance and Operations and the Office of the Provost recently revised the approach to Master Planning, to strengthen alignment of programmatic needs with the physical assets that are required to support them and to address program needs in an adaptable, efficient, and cost-effective manner. The foundation of the process is that college/unit planning drives space planning, master planning, and campus development plans. One component of the improved master planning process is the creation of a university space planning model that gives the university the ability to test a variety of planning scenarios and understand the impact each has on campus facilities.

The Space Information Management System (SIMS) provides the central master record of campus space, including the UI Hospitals and Clinics. These data support the Facilities and Administrative cost survey that is used to negotiate the university's federal indirect cost recovery rate. The data are also used to calculate operating costs and building replacement values for insurance coverage. SIMS embeds data into floor plans, with a goal of increasing efficiency. For example, Building Information Modeling (BIM) data will be incorporated into floor plans, and SIMS will integrate with the maintenance management system to improve maintenance cost calculation and provide ready access to accurate information on building systems.

Condition of existing facilities

To maintain the condition of existing GEF facilities, Facilities Management uses four basic facilities stewardship strategies:

1. ongoing maintenance and operational care of existing facilities,
2. reinvestment in the renewal of long-term physical assets,
3. reduction of the backlog of deferred maintenance, and
4. de-commissioning of obsolescent facilities or those with substantial deferred maintenance.

The university uses a "total cost of ownership" evaluative framework when weighing the various alternatives, which may include renovation, improvement, or demolition of existing facilities. The total cost of ownership encompasses all stewardship costs, including the initial project cost and ongoing care, utilities, and energy costs over the useful life of a facility. When renewal will not result in useful space configurations or will prolong the inefficient use of existing land, a building may be considered for removal. In situations where building removal is considered, historical value and heritage are carefully weighed.

The university has contracted with Sightlines -- a strategic planning, advisory, and benchmarking firm for educational facilities assets -- to analyze its investment in the condition and care of its GEF facilities. Sightlines bases its recommended strategy on its "return on physical asset" model and more than a decade of experience with more than 450 higher education clients, including all Big Ten institutions. According to Sightlines, the university has done an exemplary job leveraging its assets strategically to manage critical deferred maintenance and accumulated repair and modernization. However, it points out that the university's flood recovery effort pushed back several renewal projects that would have otherwise gone forward over the past decade. The combination of these delayed efforts, the aging profile of the university's building inventory, and current at-risk funding commitments find the university with an increasing critical need. Consequently, the university is working closely with Sightlines to develop a five-year strategy that will conceptually address near-term funding decreases by offsetting higher funding in the back end of the plan.

The approach the university is taking is consistent with the industry trend to move away from a focus on total deferred maintenance toward developing and implementing strategies for identifying and funding critical asset needs. For more than a decade, the university has pursued an overall target for building renewal funding (critical deferred maintenance and asset reinvestment) of 1% of the replacement cost of all of its GEF buildings. This goal recognizes that the quality of facilities has a significant impact on the success of students, faculty, and staff. However, funding for building renewal -- which comes from operating funds and capital appropriations, among other funding sources -- is affected by economic and budgetary issues.

The university has expanded or improved much of its space over the past decade. Some improvements were related to recovery from the 2008 flood; others were part of efforts to upgrade facilities or expand the university's capacity. Just under 50 projects completed in the past decade had values greater than $10 million.

The university meets the diverse technology needs of students, faculty, and staff and provides critical, high-quality IT services in support of virtually all aspects of university operations.

The university's robust campus data network connects 60,000 end devices to an array of IT services, data, and digital assets on campus and worldwide via standard 1 Gbps wired connections and ubiquitous wireless connectivity. The 100 Gbps core network joins 186 campus buildings with 10 Gbps to nearly all buildings. Connections to the Internet2 national research and education network are made through the Big Ten Academic Alliance (BTAA) OmniPop in Chicago via the university's co-owned BOREAS (Broadband Optical Research, Education and Sciences Network) regional fiber optic network ring that provides 100 gigabit waves to major U.S. network hubs in Kansas City and Chicago.

ICON (the university's Canvas-based learning management system) supports content, assignments, grading, quizzes, and more for about 4,000 university courses per semester, an adoption rate of about 70%. Specially designed active-learning classrooms and instructor trainings support student-centered learning. A new Learning Design Collaboratory provides innovative course-redesign services and support to faculty fellows.

Growing research computing needs are being met with a new high-performance computing (HPC) system and expanded research data storage services. The university recently commissioned the third iteration of its HPC resource, now serving 900 users in 100 departments. A Research Data Storage Service with backups, replication, recovery, auditing, and archiving is available to all faculty. Additional research computing services include training, grant development, consultation, compliance, and discipline-specific support.

 A new Business Intelligence Shared Service Center provides improved access to data for strategic purposes such as enrollment management. MAUI, a powerful student information system built by university technologists, manages a vast collection of records and countless financial transactions, provides valuable data for student success activities, and offers students tools to manage their academic plans.

Security is a priority and efforts are constantly underway to protect information and technology assets. A new platform scans devices on the network for vulnerabilities, penetration tests are conducted on enterprise applications, and tools and awareness campaigns combat phishing. Two-factor authentication is required to access the employee self-service portal, and is enabled for major academic applications.

University technology users receive excellent technical support through a centralized Help Desk and device management service and a growing network of more than 50 support consultants assigned to assist specific campus units with day-to-day technology needs and ensure that hardware and software are well maintained. The Help Desk offers extended hours and assists more than 80,000 contacts per year.

Creating a unified IT ecosystem

After decades of strong collaboration within the IT community, in 2015 the central and distributed IT organizations began working more closely as a unified IT ecosystem (OneIT) to provide a cohesive, consistent experience for customers; maximize the impact of IT investment; meet the needs of interdisciplinary activities; and position IT to support the challenges that come with ever-increasing use of and innovation in technology. A new governance process improves transparency, communication, project prioritization, and decision making. OneIT has centralized commodity and infrastructure IT services to allow collegiate and administrative units to focus on specialized, unit-specific support for students, instruction, research, outreach and engagement, and administrative functions.

OneIT is actively engaged in planning and achieving university strategic goals and invites the university community to participate as partners in planning, implementation, and management of IT services, projects, and strategies.

In June 2018, IT leadership introduced a new OneIT strategic plan, which will ensure that IT is aligned to support the university's goals; that it helps university faculty, students, and IT workforce thrive; and that resources are prioritized as the pace of change and demand for technology increase in an era of digital transformation. The plan includes strategies to

- advance student learning and success,
- advance research and interdisciplinary collaboration,
- align data initiatives with strategic and operational priorities,
- enable faculty and student innovation,
- foster strong IT partnerships across organizational and functional boundaries,
- protect technology and information assets, and
- optimize effectiveness and efficiency in resources, processes, and service management.

OneIT and Health Care Information Systems, which supports UI Hospitals and Clinics, have embarked on integration to make the IT experience as seamless as possible for customers, keep pace with increasing demand for IT services, and reduce operational and capital expenses. Assessments of areas of opportunity are underway.

The university recruits, develops, and retains talented employees to carry out its teaching, research, and service missions.

In November 2018, the university and hospital employed 3,100 faculty FTE, 14,765 staff FTE, 828 medical resident FTE, 2,207 graduate student FTE, and 3,893 temporary staff FTE (including 3,171 temporary student FTE) to carry out its instructional, research, and service missions.

As described in 3.C, the university has policies and processes in place to ensure that faculty and staff hires are appropriately qualified and oriented. Detailed job descriptions include educational and licensing or certification requirements. At time of hire, background checks and credential verification (as required by policy) are completed using third party vendors. All new faculty and staff attend orientation and receive onboarding information. The university utilizes an online Compliance and Qualifications system to track and ensure that all faculty and staff complete and maintain required training related to their profession and/or position.

Search committee members are trained in person and/or through online resources about how to conduct searches that advance the university's strategic planning goals related to equity and diversity. The Office of the Provost also makes available a comprehensive resource document, "Faculty Search Committee Practices to Advance Equity."

The university requires annual performance reviews, which provide an opportunity for staff and supervisors to set goals and identify training and development opportunities.

The university supports professional development and training for faculty and staff in a variety of ways. The university conducts a biennial employee engagement survey -- the Working at Iowa survey -- and regularly scores high among faculty and staff relative to development opportunities. Organizational Effectiveness, a unit within HR, offers numerous opportunities and resources for professional development (described in 3.C). Faculty and staff can also access various fee-assistance programs, tuition assistance, and professional development awards, as well as assistance through an individual's particular college or division.

Strategic focus on talent acquisition

In 2016, a Talent@Iowa task force was formed and charged with finding ways to improve and streamline human resources (HR) functions across campus (university HR, health care HR, faculty HR, and Equal Opportunity and Diversity), while also improving the recruitment and retention of world-class talent.

An extension of the Talent@Iowa implementation project, the Talent Acquisition@Iowa project responds to the strategic plan emphasis on faculty and staff recruitment and the Talent@Iowa task force emphasis on talent acquisition as the university's highest human resources priority. It proposes a comprehensive, coordinated approach to employer marketing, candidate engagement, and recruitment that informs new systems, processes, and services in order to enhance the university's capacity to hire top faculty and staff.   It also advances the goal of developing HR professionals as strategic partners who help the university assess and achieve its workforce needs. The project includes purchase and implementation of Oracle Talent Acquisition Cloud, which will replace functions currently provided by the Jobs@UIowa system.

The university aspires to raise its profile among its AAU peers.

The university is a member of the Association of American Universities (AAU), a group of 62 leading public and private research universities. The AAU ranks member universities annually, based on eight indicators. In 2016, the president challenged academic leaders to develop strategies to regain the university's prior status in the AAU rankings. This effort informed the development of performance metrics related to the university's strategic plan, as well as the development of "guiding principles" for GEF budgeting, as described above.

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

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

The Board of Regents is knowledgeable about the universities it governs, and exercises appropriate financial and academic oversight.

The university submits to the Board of Regents a broad array of annual governance reports, as well as reports on topics of special interest. The Regents also receive faculty, staff, and student presentations on a variety of topics, often highlighting activities at the campus hosting the meeting. New Regents meet with university leaders as part of an orientation program. As described in 2.C, Regents engage regularly not only with university leadership but also with faculty, staff, and student shared governance leaders. The Board's committee structure (described in 2.C) allows individual members to gain particularly in-depth knowledge about certain areas of the institution.

Chapter 2.2.9 of the Board Policy Manual outlines requirements for external (state and hospital) audits and for internal audits, which are an important tool to help the Regents assess the university's implementation of its financial policies and practices. The Audit and Compliance committee receives and reviews audit information. The Investment and Finance committee monitors the university's investment and treasury management practices, and the Property and Facilities committee evaluates financing for construction, operation and maintenance of capital projects.

Committees on Academic Affairs and on Campus and Student Affairs gather information and make recommendations to the Board regarding academic program review and accreditation; approving, revising, or closing academic programs; admissions standards and processes; faculty activities; diversity and inclusion policies, procedures, and programs; and other academic issues. The Regents approve faculty promotion and tenure decisions annually.

The university has a strong tradition of shared governance.

The university upholds a longstanding commitment to shared governance: faculty, students, staff, and the administration working together to set a course for the future of the university. The Shared Governance Portal functions as the central location for education and resource-sharing concerning shared governance across the university.

The Faculty Senate, composed of 80 representatives of all academic units of the university, serves as the principal channel of communication between faculty members and central administration. The Senate may discuss and take a position on any subject of university concern, and may recommend policies on these matters to the president. The Senate also appoints faculty members to serve on charter and university committees as well as Faculty Senate committees, which carry out much of the Senate's work. Faculty members are afforded an opportunity each year to volunteer for committee service. As noted in 2.C, the Senate also consults with the Board of Regents regarding appointment of central academic officials, and with the president on the periodic performance reviews of such

officials. The 20-member Faculty Council, composed of elected Faculty Senators, meets frequently to discuss issues of current importance, and to prepare action suggestions for submission to the Faculty Senate.

The Staff Council is an elected body comprising 55 representatives, 35 representing the institution's various staff functions and 20 representing the institution's organizations. The Council seeks to advance teaching, research, and service through visibly active staff participation/involvement both campus-wide and community-wide in a spirit of unity and open communication with other shared governance organizations on campus.

UI Student Government (UISG) exists to represent, serve, and empower the university's undergraduates. UISG offers input to staff, faculty, and administrators on issues that matter to students, and acts as the official student voice to the Board of Regents as well as to local and federal legislators.

Graduate & Professional Student Government (GPSG) represents the university's nearly 10,000 graduate and professional students and advocates on their behalf to university administrators, the Board of Regents, and state and federal legislators. Its mission is to improve the university experience of graduate and professional students.

Shared governance groups work together on a wide variety of important university-wide committees and initiatives, including search committees for key administrators and high priority, cross-cutting efforts such as alcohol harm reduction. As noted in 5.A, recent efforts to strengthen the ties between central administration and governance groups include extensive shared governance representation on the university's Budget Review Board and on the Path Forward Steering Committee (which guides implementation of strategic planning initiatives).

Shared Governance in the Colleges and Units

The institutional commitment to shared governance extends into collegiate and departmental administration. The university's Colleges of Education, Engineering, Pharmacy, Public Health, and Business -- as well as University Human Resources -- are all represented by local staff shared governance bodies. The roles of these elected bodies are to advocate on behalf of staff to collegiate/unit leadership, provide recognition for outstanding staff, provide professional development opportunities to staff within the college/unit, and to provide input to the Staff Council on behalf of their constituencies. The College of Liberal Arts and Sciences is currently working to develop a local shared governance body to advocate on behalf of its staff.

2016 AAUP Sanction

In June of 2016, the American Association of University Professors (AAUP) added the university to its list of institutions sanctioned for violating principles of shared governance. The sanction was related to the 2015 presidential search. (Although the sanction was issued to the university, as noted in 2.C, presidential searches are conducted and overseen by the Board of Regents.)

In the fall of 2016, the Faculty Senate established an ad hoc committee with the charge of removing the sanction. In its initial stages, the committee studied the original AAUP sanction and determined ways to best address AAUP concerns. The focus involved the composition of the search committee, the use of search firms, assurance of equal and consistent treatment of all candidates, and concern for diversity and inclusion, as well as overall transparency of the search process. Once the Faculty Senate committee had created a draft document of best practices related to these items, it expanded its membership to include members of the Board of Regents. The expanded committee met numerous times throughout the 2017-18 academic year, incorporating feedback from the local chapter of the AAUP, Faculty Senate, Iowa Board of Regents, and national AAUP leadership to finalize a statement of best practices for future presidential searches.

The final best practices document was approved by the Faculty Senate in February 2018 and endorsed by both the Board of Regents and the local chapter of the AAUP. The national AAUP organization conducted a site visit in April

2018, and again in May 2018. The AAUP governance committee recommended that the sanction on the university be lifted. In the following month, the membership of the national AAUP [voted unanimously to remove the sanction](), commending the university on the level of collaboration established between the faculty, the Board of Regents, and the local chapter of the AAUP. The university community was pleased by the result of this two-year effort and sees it as a model for both the concept and the application of shared governance practice at the university.

Sources

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- Planning_Shared_Governance_UISG
- Planning_VPSL_Alcohol_Harm_Reduction
- Policies_Regents_Audit
- Policies_Regents_Audit (page number 36)

5.C. The institution engages in systematic and integrated planning.

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

Strategic planning involves substantial input from the university community.

As described in 1.A, the university's most recently completed strategic planning process involved the collection of input from more than 750 individuals and groups within the university community, including faculty, staff, and students. The Strategic Plan Development Group (SPDG)'s working process used a "hub and spoke" model, with SPDG members at the center having responsibility to reach out to constituents and interest groups and bring feedback to the larger committee. The group held 12 open forums at various locations with more than 250 attendees, and 29 "road show" meetings with various groups and individuals.

Strategic planning at the university is a "living" process.

As described in 1.B., the university has formed a Path Forward Steering Committee (PFSC) that is overseeing implementation of the strategic plan for 2016-2021. The PFSC is subdivided into four work groups, organized around the three strategic plan "pillars" of Student Success, Research and Discovery, and Engagement; and the cross-cutting priorities of Diversity, Equity, Inclusion, and Collaboration. The PFSC structure is designed to keep the plan a "living document" through regular review of priorities in light of current context. The work groups develop annual work plans that include prioritized critical tasks, objectives, and tactics, and also identify the campus individuals or entities responsible for carrying them out. The plans emphasize activities that are achievable, measurable, and promote the vision and goals of the university.

The university anticipates emerging factors and future revenue needs.

In spring 2017, the Board of Regents created a Tuition Task Force with the goal of developing a tuition strategy that would ensure sufficient resources while maintaining predictability for students and families. The Task Force compiled extensive trend data on enrollments, general education funding (GEF) by source, graduation rates, and student debt loads. In August 2017, the university presidents presented five-year tuition plans. The five-year plan considered historical trends and peer data and estimated the amount of additional GEF funding needed by FY 2022 to implement the goals of the university's strategic plan.

In November 2018, the Regents announced their intention to set "guardrails" around increases in base resident tuition, in an effort to provide tuition predictability over the coming five years. If the state fully funds the university's appropriations request, base resident undergraduate tuition will increase by 3%. If the state provides no additional funding, the increase will be 3% plus the projected HEPI (Higher Education Price Index).

The university has implemented initiatives to strengthen data-driven decision-making in areas of enrollment management and student success, as summarized in a 2017 presentation to the Institutional Data User Group (IDUG). For example, under the leadership of the director of enrollment management data analytics, Admissions is using predictive models to guide prospect communications, aid in territory management, and project scholarship costs.

The university works to allocate resources effectively to advance its teaching, research, and service missions in the context of its current environment and in response to evaluation and assessment efforts.

As described in 5.A, the university's new GEF budget model is designed to ensure that the academic mission is at the center of the resource allocation decision-making process, and to facilitate planning. Four "guiding principles" (*Student Success, Quality Indictors, Our Values, Our Future*) ensure that budget allocation is closely linked to strategic priorities. The link to the strategic plan and/or to the guiding principles is made explicit in the university's annual budget narratives, as in those for FY 2019, FY 2018, and FY 2017. (In addition, for FY 2019, the first page of the university's budget spreadsheet document indicates how $5.3M in incremental revenue will be applied to advance each of the guiding principles).

The Advisory Committees charged with assessing and prioritizing proposals for operational cost savings or increases (described in 5.A) include deans and representatives of shared governance. The committees operate with a strong understanding of operations, finances, and capacity within the units under their purview.

In making difficult decisions about budget reductions in the face of state funding cuts, the university is guided by the "guiding principles" and by the imperative of supporting the core academic mission. For example, in response to appropriation reductions, in early 2017 the president, provost, and senior vice president for finance and operations sent a letter to campus outlining a plan for specific cuts and reinvestments (along with increased efficiencies, philanthropy, and enhanced partnership with business enterprises), and stating:

> Our budgeting principles remain unchanged, and the administration -- in collaboration with academic leadership and shared governance -- will continue to align next year's budget with the UI Strategic Plan, student success, quality indicators, UI values, and a vision for the UI's future.

These guiding principles and strategic priorities shaped university decision-making in 2018 when, responding to back-to-back state budget cuts adding up to $16 million since FY 2016, the university closed or reduced funding to several centers and institutes whose activities -- while successful in their endeavors and valuable to their constituents -- were determined relatively less central to the university's core academic mission.

4.A, 4.B, 4.C, and 5.D describe some of the university's efforts to assess student learning and to evaluate the effectiveness of programs and units. The outcome of such efforts has informed the development of strategic priorities, such as numerous student success initiatives as well as the development of the new budget model.

Sources

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5.D. The institution works systematically to improve its performance.

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

The university regularly communicates information about its status and performance to its constituents.

The university documents and communicates information about its operations and performance through numerous governance reports to the Board of Regents (described in 5.B). These include reports on budget and finances, graduation and retention rates, faculty activities, academic program review, diversity, and many others that provide external accountability of the university's performance in key areas.

Among the reports to the Regents are the university's annual reports on progress toward the goals of its strategic plan, which are shared on the web sites of the Office of the Provost and the Board of Regents. The annual reports include updates on progress toward key performance measures such as graduation and retention rates, grant applications and research expenditures, and student and faculty diversity.

The university has undertaken a variety of efforts in the past several years to increase the availability and usefulness of data for the public and for university decision-makers. In 2015 the Office of the Provost released the inaugural Data Digest, which provides comprehensive quantitative information about various aspects of the university, including students, faculty, and budget. In 2016 -- as part of the OneIT effort described in 5.A -- the university conducted an assessment of data and business intelligence needs on campus. Some results of the assessment include the creation of a new campus data portal that facilitates finding, requesting, and sharing institutional data; and the creation of a Business Intelligence Shared Services Center (BISSC) which to date has completed 15 suites of dashboards and visualizations on various topics, with several more in progress.

Many units share with the public annual reports that further document the university's performance in specific areas, such as the Annual Financial Report, the Student Profile, the annual Diversity at Iowa report, the Division of Student Life Annual Report, and the UI Health Care Annual Report.

The university provides summary facts on its institutional web site, including various institutional and program rankings.

University programs undergo extensive operational reviews through federal, state, and institutional performance and financial audits; professional accreditation reviews; and institutional collegiate, departmental, program, and administrative reviews.

As described in 4.A, Board of Regents policy establishes that academic departments, programs, and colleges must be reviewed on a seven-year cycle. Findings from these reviews guide program improvements and efficiencies. For example, in response to its most recent review, the Department of Community and Behavioral Health in the College of Public Health reduced the number of degree subtracks it offers to reflect current trends and the size of its faculty (see 4.A for additional examples). In addition, more than 50 academic programs at the university undergo specialized accreditation review. These reviews typically involve the generation of a self-study and feedback from the reviewers about opportunities for improvement.

The Graduate College assures high quality graduate programs across campus through the academic program planning approval process, reviewing more than 200 proposals since 2010.

Section II.28.4 of the Operations Manual outlines requirements for reviews of central administration, which are led by the Faculty Senate and used to identify areas for improvement. For example, the 2014 Review of the Office the Provost confirmed a widespread sense of satisfaction with the leadership and support coming from the Office, but suggested needs for increased communication and transparency related to budgetary decisions, which contributed to the development of the university's new budget model (summarized in 5.A). Other findings from this review prompted changes in ways that meetings are convened by the Office of the Provost to bring together deans and associate deans from across academic units to discuss areas of common concern and invite their input in ways that are timely and efficient. The Schedule of Administrative Reviews specifies the offices reviewed under this policy and the schedule of upcoming reviews.

As noted in 5.A, the Office of Internal Audit conducts internal audits of selected university units and programs throughout each year. These audits provide a systematic approach to identifying strengths and weaknesses in business practices and processes, and include clearly defined feedback mechanisms and follow-up schedules. For example, in fall 2018 the Office of Internal Audit issued its follow-up report on the spring 2017 audit of extra compensation for teaching academic courses, noting a variety of changes that had been made including new overload teaching guidelines and improved automation.

The university collects evidence to gauge its performance and identify opportunities for improvement in targeted areas.

The university conducts various surveys to gather student, faculty, and staff perceptions of their experiences on campus, including:

- SERU and gradSERU surveys to all bachelor's, master's, and doctoral students (see 4.B).

- The Diversity, Equity, and Inclusion survey of faculty and staff. Combined with SERU data from students, the results of this survey will help the university develop a systematic understanding of climate at the university and establish a baseline for measuring change over time, in addition to other goals (see 1.C).

- The Working at Iowa survey identifies faculty and staff perceptions of their work environment and opportunities to improve the work experience for faculty and staff (see 5.A).

As described in 5.A, in 2016 the university formed a Talent@Iowa task force and charged it with finding ways to improve and streamline HR functions across campus.

In November 2017 the university engaged Des Moines law firm Fredrikson & Byron, P.A. to conduct an independent, external review of the university's employment policies and practices. The review includes the university's academic and operational units, UI Health Care, and the Department of Intercollegiate Athletics.

The university recently participated in the Education Advisory Board (EAB) Academic Performance Solutions (APS), a membership service through which member institutional data is extracted, validated, and re-aggregated in order to construct analytical reports and dashboards related to critical cost, capacity, enrollment, and student outcomes metrics. The service also provides benchmarks across participating peer institutions. Although the university decided in February 2019 not to renew its contract with EAB, the effort led to a number of internal data and reporting enhancements.

As noted in 4.B, annual departmental reports on student learning assessment activities in the previous year include summaries of lessons learned and/or actions taken in response to assessment results.

TIER (Transparent, Inclusive Efficiency Review)

In 2014, the Board of Regents hired Deloitte to conduct a wide-ranging study to identify potential cost savings, increase revenue opportunities, and propose plans to change how the Regent universities are structured and services are delivered ("Rising to the Next TIER - a Transparent, Inclusive Efficiency Review"). This led to TIER@Iowa, the goal of which is to make the university strong and sustainable for the long term with a focus on reinvesting in the core academic missions of education, research, and service. TIER is broad in scope and includes academics, sourcing and procurement, finance, human resources, information technology, and student services. Examples of completed TIER initiatives include:

- HR streamlined the search process for professional and scientific staff, saving 92,832 employee hours that redirected $2,901,000 in staff effort.
- University Shared Services centralized financial processing, reducing transaction processing time by 38%, reducing error rates by 98%, and saving $407,452 annually.
- Information Technology Services eliminated 33 campus data centers and consolidated 715 servers to save more than $950,000 annually, recovering 8715 sq. ft. of floor space worth more than $1.5 million.
- A new tool will help students identify and apply for scholarships across campus and save staff time by reducing the number of applications from students who do not meet scholarship qualifications.

Sustainability

In 2009 the Board of Regents adopted a Campus Sustainability Plan, designed to provide an integrated and collaborative effort toward greater sustainability at the Regent universities. In 2010, the university announced its "2020 Vision" for sustainability, including specific targets to be met by December 31, 2020. Those targets, and the status of progress toward them as of the five-year progress report issued in 2015, are:

- Net-negative energy growth (consume less energy on campus in 2020 than in 2010). After implementing an aggressive energy reduction program, the university was using 4% less energy in 2015 than in 2010, even though 10 new buildings had been added to campus.
- 40% renewable energy consumption by 2020. Renewable energy use was at 14.4% in 2015. Coal use has been significantly reduced through the use of biomass fuels including oat hulls, wood chips, and miscanthus grass being co-fired with coal in the Power Plant.
- 60% waste diversion by 2020. The campus had achieved 42% waste diversion as of the end of 2015. There is now recycling in every major building, and almost all dining area food wastes are collected for composting.
- 10% reduction in per capita emissions of fossil fuel-produced CO_2 from university-related transportation and travel. Campus had reached a 14.29% reduction by 2015. More than 60% of the campus fleet is hybrid, electric, or flex-fuel.

Annual progress reports to the Board of Regents on sustainability efforts outline additional progress toward these campus operations targets, and in the areas of education and research and planning, administration, and engagement.

Sources
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Criterion 5 - Resources, Planning and Institutional Effectiveness

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

SUMMARY

The university remains in a strong financial position to support its mission and operations, after navigating the significant physical and fiscal challenges posed by the historic flood of 2008 and steadily declining state appropriations. The university works to allocate resources effectively through strategic planning processes, which seek broad input from the university community approximately every five years, and the "Path Forward" strategic plan implementation process, which is continual and rooted in shared governance.

Through these processes, the university prioritizes areas of emphasis within its broader mission and implements strategies that respond to current and emerging challenges and opportunities. With its newly implemented budget model, the university expects to facilitate more effective planning, increase transparency, encourage collaboration, and ensure that academics are at the center of the resource allocation decision-making process.