2013: University of Guam, Interim Report

by ALO UofG

Introduction & Directions

WASC Interim Report

Interim Reports must be submitted via LiveText

When taking accreditation action under the WASC *Handbook of Accreditation,* the Commission may request additional reports focused on identified issues of concern. In such cases, the institution is asked to prepare an Interim Report following the format prescribed here.

The WASC Interim Report Committee reviews the report and responds to the institution with one of three outcomes:

1) receipt of the report with recommendations;

2) deferral of action pending receipt of follow-up information; or

3) receipt of the report with a recommendation that the Commission send a site visit team to follow-up on specified issues.

Interim Reports are intended to be limited in scope, not comprehensive evaluations of the institution. The report should help the Interim Report Committee understand the progress made by the institution in addressing the issues identified by the Commission and the major recommendations of the last visiting team. The report is to be submitted to the WASC office via LiveText by the date specified in the Commission action letter that triggered the Interim Report.

If the Interim Report addresses financial issues, there are special reporting requirements in addition to those required for other concerns. These additional reporting requirements are noted in this document in Section VIII.

INSTRUCTIONS:

This template outlines the mandatory sections of the **WASC Interim Report**.

- Please respond to each element.
- As you move through the template adding information, take care not to delete the original questions.
- The narrative for each question must be included directly in LiveText. Attachments are only for supporting documents.
- Use the following naming convention for your document: [YEAR]: [INSTITUTION NAME], Interim Report
  Example: 2010: Sunshine University, Interim Report
- When complete, choose 'Submit for Review' and 'Submit' the report to 'WASCIRC'.
- **Please notify your WASC staff liaison and Marcy Ramsey, mramsey@wascsenior.org, once the report is complete and has been submitted.**

Additional Resources

- For assistance formatting LiveText submissions, please review the **LiveText Tutorial.**

General Information

Cover Sheet

Please complete the following information:

1. **Name of Institution:** University of Guam

2. **Physical address of main campus:** 303 J.U. Torres Dr., UOG Station, Mangilao, GU 96923

3. Date of submission of this report: November 1, 2013

4. Person submitting the report: Robert A. Underwood, Ed. D., President

I. List of Topics or Concerns Addressed in Report

Summary of Commission Topics or Concerns

Instructions: Please ;list the topics identified in the action letter(s) and that are addressed in this report.

In its letter of June 16, 2011, transmitting the WASC Interim Report Committee determinations of the University of Guam's 2011 Interim Report, the WASC Senior Commission required another Interim Report for Fall 2013. This report addresses five main areas:

Topic A: UOG's financial position

Topic B: Its multi-year strategic enrollment plan and demonstration of progress toward UOG's target goals

Topic C: The reduction, consolidation and/or streamlining of academic programs consistent with the strategic plan goals and objectives

Topic D: Its demonstrated alignment of enrollment, program review, academic planning, and strategic planning

Topic E: Its demonstration of closing the loop in the assessment process

II. Institutional Context

Institutional Context

Instructions: The purpose of this section is to describe the institution so that the Interim Report Committee can understand the issues discussed in the report in context.

Very briefly describe the institution's background; mission; history, including the founding date and year first accredited; geographic locations; and other pertinent information.

The University of Guam is a public, open admissions, four-year land grant institution, located on the island of Guam in the Western Pacific Ocean. It is the southernmost island in the Marianas Island chain. The University's mission is: *Ina, Diskubre, Setbe*: to Enlighten, to Discover, to Serve. The University of Guam's unique geographical location and its commitment of expertise functions as an intellectual conduit for the people of Guam, and institutions of the Region, East Asia, and the world to learn from one other, within an American higher education framework.

There are 35 undergraduate degree programs (including a professional Associate Degree in Nursing) and 15 masters-level programs[1]. The University is within four hours flying time of all of the major cities of Asia. It is the only U.S.-regionally-accredited, four-year, masters-level university campus located within the Western Pacific region.[2] It was founded as the Territorial College of Guam in 1952 offering a two year curriculum for teachers. The institution became the College of Guam in 1962 and the University of Guam in 1968 with the establishment of graduate programs. It was designated a land grant institution by act of the United States Congress in 1972. Of the University's 3,702 students enrolled for Fall Semester 2012 (up 1.7% from Fall 2010 reported in the 2011 Interim Report and up 9.3% from Fall 2008-the time of the last EER visit), 51% are of Pacific Islanders, 41% are Asians. 73% attend on a full-time basis. As of September 30, 2012 there were 824 total employees, including 186 full-time faculty and 31 administrators. Consolidated revenues (operating, non-operating and ARA capital contributions, net of

investments, bad debt provision/recovery and retiree healthcare allocations) totaled $104.3 million in FY12. Local government appropriations are 33% of consolidated revenue. Research grants, contracts, tuition and fees form the other primary sources of revenue.

Guam's economy is tied to Asian markets. It is driven by tourism, the military and other forms of federal spending, and to a lesser extent, by real estate and construction. The island has a $4 billion a year Gross Island Product (GIP), the local term used to measure the island's economic output. It is measured differently from US GDP. It can be used to provide a scale for the size of the Guam economy relative to the US economy.

The people of Guam are multicultural and multilingual. The indigenous inhabitants of Guam are Chamorros, and the two official languages of the island are Chamorro and English. No ethnicity on Guam comprises a majority of the population. Of the approximately 159,000 inhabitants of Guam (2010), the main ethnic identities are Chamorro 37%, Filipino 26%, other Pacific islander 12%, white 7%, other Asian 6%, other ethnic origin or race 2%, and mixed ethnicities 9% (2010 Census data). Guam is an unincorporated territory of the United States, governed by Guam's Organic Act: an act of the U.S. Congress. There is an elected governor, and a unicameral legislature of 15 senators elected island-wide. The judiciary is composed of the Guam Supreme Court and the Guam Superior Court. The island's major employer is the Government of Guam, employing 11,270 workers. The island's FY14 Government of Guam budget is based on general fund revenues of approximately $603 million for operations.

Accreditation History

The University of Guam has been continuously accredited by the Western Association of Schools and Colleges since before the Association adopted that name (in 1962), with the first accreditation visit in 1958 and action in 1959 to accredit. Details of each visit and report concerning accreditation are attached as Appendix A: WASC Accreditation History.

During more than sixty years of continuous accreditation, there have been two periods during which the University was on probation or show cause. The first period, from 1984-85 (show cause) and 1985-88 (probation), occurred in the decade following the acquisition of Land Grant status. The major issues centered on institutional autonomy and the integrity and independence of the Board, as well as a lack of institutional planning and procedures. There were no sanctions following a full review in 1988. A period of economic prosperity followed, as Guam's economy was influenced by the Japanese and Asian markets. The second period occurred in 2000, when the University was placed on probation for failing to meet nine WASC standards and for instilling a "climate of fear" among faculty and staff. Following the formation of a Faculty Senate, the hiring of a new president and senior vice president, and the provision of experienced leadership in the financial and academic areas, the University was removed from probation in 2002, with much praise for the new spirit and commitment to mission. Since 2000 the University has hosted five visits from WASC (two focused visits, one CPR visit, a comprehensive review (2000) and an Educational Effectiveness review (2009)) and submitted 11 reports (four special reports focused on financial stability and responses to visiting team recommendations, three substantive change requests and four self-studies). The University and the island community have thus been engaged with the reaccreditation process for quite some time. The entire process of accreditation has been woven into the planning and assessment processes of the University. In November 2001, the University began a process of self-reflection and dialogue, resulting in consensus on a set of strategic initiatives that defined areas of focus and goals for the University community: a) Enhancing Academic Quality; (b) Supporting Student Success, Institutional Visibility and Enrollment Growth; (c) Promoting the Land Grant Mission of University and Community Engagement; and (d) Strengthening Institutional Effectiveness and Efficiency. These strategic initiatives were first noted in our Proposal for Reaffirmation of Accreditation in 2004 and have endured and guided priorities and the standards for achievement throughout the past ten years.

In May 2008, the University chose its tenth president, Robert A. Underwood, Ed.D., a well-respected former faculty member, Dean and Academic Vice President, who served as Guam's elected delegate to the U.S. Congress for ten years. President Underwood continues progress on all the strategic initiatives, while guiding the University toward a common set of three overarching themes: UOG Green; UOG, the Natural Choice; and UOG Leading Change. UOG Green is a theme based on the traditional Chamorro respect for the land and sea and the connected ecosystems: proposing energy sustainability and efficiency, coupled with conservation. The second theme positions the University as the "natural" choice for graduating high school seniors, residents who are turning to higher education to improve their quality of life. The third and final theme, UOG Leading Change, focuses on the University's roles to provide information and research to guide the island's policy decisions; educating the next middle class of professionals who will remain on the island and responding to community needs with partnerships and an academic support infrastructure.

Following a successful Educational Effectiveness review of the University in 2009, the WASC Commission reaffirmed the institution's accreditation, requested an interim report and set the next EER visit for 2016. The WASC letter affirmed that the University "Fulfilled the outcomes it envisioned in its 2004 proposal for the comprehensive review. In striving to meet these self-set objectives in the face of fiscal obstacles and challenges that other institutions might have found insurmountable, the University has established strong and more effective administration structures, sounder fiscal practices and policies, and more vigorous academic programs, and a highly participatory culture of evidence and continuous improvement."

As a community, the University of Guam's success in moving ahead in unpredictable times is linked to a financial management plan that prioritizes student learning and is consensus-driven, using the University Planning and Budget Committee (UPBAC) as the focus for discussion.

Recent Organizational Changes. Dr. Helen J.D. Whippy retired in July 2013 after 25 years of dedicated service to the University, including 13 years as the Senior Vice President of Academic and Student Affairs and the University's WASC Accreditation Liaison Officer. President Underwood said of her: "*Dr. Helen Whippy has been a force for institutional strengthening and advancement during her years of service at the University. She has been a strong advocate of assessment-based academic planning, was the major organizer of the University's response to accreditation reviews and processes; brought stability to the institution after a period of faculty-administration conflicts and disagreements and served with grace, humor and intelligence as acting president whenever the institution needed her."*

Dr. Anita Borja Enriquez, Dean of the School of Business and Public Administration, has been appointed the Interim Senior Vice President of Academic and Student Affairs and the WASC Accreditation Liaison Officer. She had worked closely with Dr. Whippy over the past several years on strategic efforts related to academic and student affairs at the University, and is committed to ensuring stability until a permanent replacement is selected in Spring 2014. Dr. Enriquez brings with her a decade of service as a success dean.

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[1] *Specialization areas in the Masters in Education program are counted individually.*

[2] *An area the size of continental U.S. that encompasses, in addition to the U.S. Territory of Guam, the Republic of Palau, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands.*

Attachments Appendix_A_WASC_accreditation_history_for_University_of_Guam_2013.pdf

III. Statement on Report Preparation

Statement on Report Preparation

Instructions: Briefly describe in narrative form the process of report preparation, providing the names and titles of those involved. Because of the focused nature of an Interim Report, the widespread and comprehensive involvement of all institutional constituencies is not normally required. Faculty, administrative staff, and others should be involved as appropriate to the topics being addressed in the preparation of the report. Campus constituencies, such as faculty leadership and, where appropriate, the governing board, should review the report before it is submitted to WASC, and such reviews should be indicated in this statement.

In preparing this report, the University reviewed the University's EER Self-Study, the 2009 WASC EER Visiting Team Report, the June 2009 WASC Action Letter, the June 2011 WASC Action Letter, and the WASC Interim Report template, and obtained data, feedback, comments and consultation from a variety of sources, including the individuals listed below.

Material and data tables were compiled by the Director of Academic Assessment and Institutional Research, and the Office of Administration and Finance. The drafts were reviewed by various committees and members of the Faculty Senate, President Underwood, the Vice Presidents, and the Academic Officers Council. The Board of Regents was briefed on the report at its regularly scheduled meeting.

The following individuals were involved in the review and preparation of the report (listed alphabetically):

- Dr. Ann Ames, Associate Professor of Sociology and Micronesian Studies, and Chair, University Graduate Curricula Review Committee (GCRC)
- Remedios B. Cristobal, Registrar and Acting Dean of Enrollment Management and Student Services
- Mark Duarte, Director of the Financial Aid Office
- Dr. Michael Ehlert, Associate Professor of Psychology and Chair, General Education Review Committee (GERC)
- Dr. Anita Borja Enriquez, Interim Senior Vice President, Academic and Student Affairs and WASC Accreditation Liaison Officer (ALO)
- Larry Gamboa, Chief Human Resources Officer and staff
- Dr. Nick Goetzfridt, Professor of Library Science and Micronesian Studies and Chair, and President, Thirteenth Faculty Senate
- Dr. Margaret Hattori-Uchima, Acting Director of the School of Nursing and Health Sciences
- Arline Leon Guerrero, Instructor, Student Counseling Services, Chair, Retention Committee
- Deborah Leon Guerrero, Director of Academic Assessment and Institutional Research, Chair, University Assessment Committee
- Troy McVey, Associate , Dean of the College of Liberal Arts and Social Sciences
- Barbara Molarte, Bursar and Associate Comptroller
- Zeny Nace, Comptroller and staff
- David O'Brien, Vice President for Administration and Finance
- Dr. Amy Owen, Associate Professor of Geography and Chair, University Undergraduate Curricula Review Committee (UCRC)
- Dr. Donald Rubinstein, Chair, Senate Committee on Institutional Excellence
- Dr. John Sanchez, Acting Dean of the School of Education
- Dr. Annette Santos, Acting Dean of the School of Business and Public Administration
- Dr. James Sellmann, Dean of the College of Liberal Arts and Social Sciences
- Dr. Kyle Smith, Professor of Psychology and member, Thirteenth Faculty Senate
- Dr. Henry Taijeron, Assessment Coordinator, College of Natural and Applied Sciences
- Gloria Travis, Associate Budget & Administrative Processes Officer
- Dr. Robert A. Underwood, President, University of Guam
- Dr. Lee Yudin, Dean of the College of Natural and Applied Sciences

IV. Response to Issues Identified by the Commission

Response to Issues Identified by the Commission

Instructions: This main section of the Report should address the issues identified by the Commission in its action letter as topics for the Interim Report. Each topic identified in the Commission's action letter should be addressed. The team report may provide additional context and background for the institution's understanding of issues.

Provide a full description of each issue, the actions taken by the institution that address this issue, and an analysis of the effectiveness of these actions to date. Have the actions taken been successful in resolving the problem? What is the evidence supporting progress? What further problems or issues remain? How will these concerns be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned additional steps with milestones and expected outcomes.

Topic A: An Updated Progress Report on UOG's Financial Position.

I. Description of the Issue

The WASC Action Letter of June 24, 2009, identified the issue of revenue diversity under the header of sustaining and improving effectiveness and efficiency. The context for this issue is the ongoing impact of the Government of Guam's (GovGuam's) financial deficits and uncertainty on the University's financial position, particularly the cash position. While the 2009 action letter noted the University's improved financial management and systems, processes and engagement in adapting to the financial uncertainty, WASC called for continued diversification of revenue sources.

In the November 2011 Interim Report the University reported an improved financial position. The improvements were the result of actions taken to financially manage the unreliability of the University's allotment payments from GovGuam, which over the last decade had led to financial uncertainty and which impeded planning. The University reported steps taken through its financial management plan to manage its fiscal realities by:

- Using a base budget approach that clearly spells out the requirements to maintain current

programs;
- Presenting additional funding requests as growth initiatives/ investments with clear outcomes;
- Growing cash reserves to provide a sustainability cushion and to fund capital projects or larger replacement items;
- Developing a close and collaborative working relationship with the Executive branch's fiscal team, allowing us to prepare cash flow models and adjust our own expenditures to meet their expected payment timetables.

Following its review of the November 2011 Interim Report, WASC requested an update of the University's financial position in the 2013 Interim Report.

II. Actions Taken by the Institution that Address this Issue

1. Actions taken to further diversify and increase University-generated revenue sources:

   a. Increase tuition revenues through enrollment and retention management.

   b. Increase grants and contracts through: i) establishment of an Office of Sponsored Programs; ii) legislative and executive support for a Research Corporation of the University of Guam (RCUOG); iii) application for the National Science Foundation's Experimental Program to Stimulate Competitive Research grant (EPSCoR).

   c. Increase entrepreneurial net revenues through Professional and International Programs (PIP) and other activities.

   d. Initiate a 60th anniversary capital campaign with the University of Guam Endowment Foundation (UOGEF), which has a $30 million goal.

2. Actions taken to enhance GovGuam revenue sources and mitigate uncertainty in the payment of government allotments:

   a. Develop and request base budget appropriations that adequately support institutional priorities and ongoing operations, as vetted with UPBAC.

   b. Identify and seek targeted appropriations that support investment in the University and that serve policy targets, such as student access/affordability.

   c. Agree on allotment payment plans with the Governor's Office / Department of Administration (DOA) / Bureau of Budget and Management Research (BBMR), and work with them pro-actively to address any required changes.

   d. Work collaboratively with public policy makers and the Governor's fiscal team to mitigate the impact of GovGuam allotment holdback controls on the University.

3. Actions taken to institutionally stabilize and improve the financial position:

   a. Implement and monitor an annual financial management plan that communicates the financial drivers and financial position, identifies priorities, and establishes guidelines to live within available resources.

   b. Increase surplus cash reserves for sustainability and capital as per Board Resolution 08-41.

   c. Implement the Good To Great initiative (G2G) to transform the University, establish priorities for programs and activities, rank priorities for resource allocations, and identify opportunities for revenue generation and operational savings.

III. Financial Position Update and Analysis of the Effectiveness of these Actions to Date.

The University has achieved a new level of financial stability evident in the following:

- Since implementing the financial management plan, the University has achieved a financial surplus in nine of the last ten years (there was a FY08 deficit associated with the impact of the U.S. financial crisis on investment earnings combined with GovGuam holdbacks).

- The annual surpluses have averaged $2.8 million and 3% of revenues.
- The annual surpluses have cumulatively bolstered reserves, as called for by Board policy as a best practice for financial stability and long-term viability.
- Cash reserves were ~$15 million on March 31, 2013,

- Over the last decade, the University has grown an average of 9% per annum into a more diversified $104 million revenue organization, up from 2002's $56 million.
- Revenues have grown and revenue sources have become more diversified.

- University-generated revenues (i.e, tuition and fees, grants and contracts, and auxiliary and other revenues) have increased across the board.
- Of total revenues 67% are University-generated, while 33% are from GovGuam appropriations. In FY02 this 67/33 split was 44/56.
- The table below shows revenue growth and continued source diversification.

	Revenues ($000)				Audited Revenues						
University Generated Revenues	FY12	FY11	FY10	FY09	FY08	FY07	FY06	FY05	FY04	FY03	FY02
Tuition and Fees (Gross)	$ 21,861	$ 21,630	$ 20,740	$ 18,514	$ 16,075	$ 15,074	$ 12,995	$ 11,598	$ 10,391	$ 10,337	$ 9,664
Grants and Contracts (net*)	41,002	36,549	28,745	21,420	19,023	19,134	19,921	18,068	18,971	17,389	12,650
Auxiliary Enterprises & Other Revenues	7,192	7,467	7,727	2,214	2,266	2,418	2,225	2,080	4,222	5,272	1,895
Total University Generated Revenues	70,055	65,646	57,216	42,148	37,364	36,626	35,105	31,746	33,583	32,998	24,229
GovGuam Appropriations	34,197	31,936	33,072	32,952	31,776	30,302	26,962	29,042	29,042	28,922	31,291
Total Revenue (excl investments, bad debt recovery provision, retiree healthcare)	$ 104,252	$ 97,582	$ 90,288	$ 75,100	$ 69,140	$ 66,928	$ 62,067	$ 60,788	$ 62,625	$ 61,920	$ 55,520
* Fed Grants are net of scholarships which are counted in gross tuition											
** GovGuam Appropriation: Genl Ops, Special, SFAP, YEC (YEC transferred to UOG in 2007) + UOG CIP											
Govt of Guam Appropriation	33%	33%	37%	44%	46%	45%	43%	48%	46%	47%	56%
University-generated revenue	67%	67%	63%	56%	54%	55%	57%	52%	54%	53%	44%

- In a period of decreasing state support for higher education, GovGuam appropriations for the University's baseline operations budget have remained relatively stable at ~$27M and at ~5% maintenance of effort over the last five years.
- In addition GovGuam policy makers have appropriated funds for several targeted investments and public policy objectives.

- From FY12-14 an average of $5.3 million was appropriated for tuition support to keep tuition rates affordable.
- Under PL31-237 the $3.5 million in local student financial aid was put under University control to also improve student access and affordability.
- PL31-229, PL31-277 and PL32-63 appropriated $1 million p.a. for forty years for the Student Services Center and Engineering Annex.
- In FY13 PL32-68 provided a one-time $2 million debt service hiatus for investment in G2G.

- Equally as important has been the improvement in GovGuam's cash allotment payments to the University under Governor Calvo.
    - The University's daily cash position has been the beneficiary with balances regularly in the $6-8 million range, a far cry from prior years' balances that were lucky to be $1 million.

- While GovGuam has instituted allotment holdbacks that average approximately 3% p.a., its fiscal team has worked closely with the University in paying allotment payments fully and on time.
- FY13 was the best year in the last ten, as virtually 100% of the unreserved allotment payments were made on time.
- In FY14 the University is exempt from allotment release controls under PL32-68.

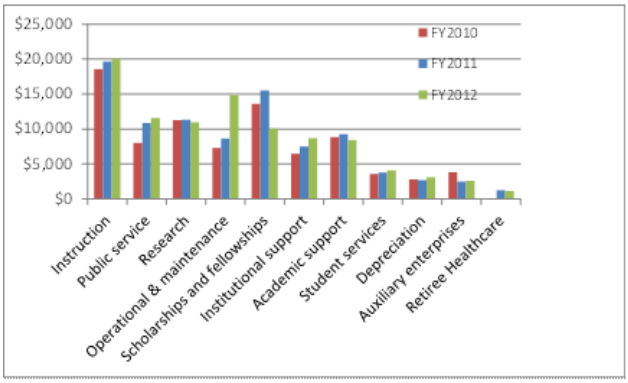
- The University has held tuition rates flat for five years.

- The increases in tuition revenues have been driven by enrollment growth and from public laws that appropriate tuition support for higher education (see above), not tuition rate hikes.
- FTE enrollments and credit hour production are the highest ever.

- Over the last decade, grants and contracts increased to ~$50 million, over 200% growth.
    - From a sustainability perspective grant funds have been particularly important in reducing deferred maintenance. ~$12 million of ARRA funding was for maintenance and renovation.
    - U.S. Department of Interior has awarded CIP funding totaling ~$7 million over the last five years, which two Governors of Guam assisted the University in obtaining.
- Expenses have been held in check even with increased enrollment, explosive growth in grant

spending, stepped-up facility maintenance, merit-based salary increments, and utility and retirement rate hikes.

Operations Expense ($000)



- Since its initiation in 2012, the 60th anniversary capital campaign has generated $3.8 million. There have been several notable large gifts.

IV. ISSUES REMAINING

- As GovGuam appropriations account for 33% of the consolidated funding and ~69% of general operations funding, there is important, positive news about GovGuam finances. (*Paraphrasing Standard & Poor's report*)

- In October 2013 Standard & Poor's raised GovGuam's credit rating from a 'B+' to a 'BB-'with a stable outlook**.** Cited were improved financial management, fiscal discipline, and cash flow monitoring.
- Revenue trends and cash flows are positive and the government has had success in cost containment, resulting in improved liquidity.
- Opportunities for further improvement are seen as tourism and the economy are likely to improve over the next several years and the government has new political willpower regarding its finances.
- Importantly for allotment payments, a watchful eye must be kept given the government's challenges related to contingent obligations, rising debt service requirements, and pay increase reinstatements.

- The G2G initiative/ program prioritization is underway under the leadership of President Underwood and with all employees participating.

- Completion is expected May 2014; implementation thereafter.
- Resource re-allocations will be made to higher ranked programs and lower ranked programs may be closed or altered.
- $1 million p.a. in cost savings is targeted. $0.5 million p.a. of these savings will be reallocated and invested in G2G priorities.

- The President and UOGEF are negotiating several new million dollar gifts to the capital campaign, which are near announcement.
- In 2014-2015 and following RCUOG will enable the University to grow grants and contracts through legislatively supported flexibility in procurement and human resources management.
    - Bill 190, establishing RCUOG, has been introduced in the 32nd Guam Legislature by Vice Speaker Cruz and co-sponsored by Speaker/ Education Committee Chair WonPat. It has garnered some bipartisan support.
    - A public hearing will be held in November 2013. Action is expected before year-end, followed by RCUOG implementation by Fall 2014.
    - Assistant Vice President John Peterson is leading this effort.
    - NSF awarded an EPSCoR planning grant to develop the research capacity. UOG has now applied for continued funding. In 2014 NSF is expected to announce awards.

- Continued revenue increases from entrepreneurial activities are expected through product differentiation and market expansion.
  - PIP has been particularly success in several of its international language and adventure programs that take advantage of Guam's being a U.S. territory and the closeness of the island to Asia.
  - PIP Director Cathleen Moore-Linn is negotiating joint marketing agreements with universities in Japan, South Korea and Taiwan with results expected in 2013-2014.
  - A public-private partnership to build an international student dorm at no capital cost to the University will be pursued in 2014.

Topic B: A Multi-Year Strategic Enrollment Plan and Demonstration of Progress Toward UOG's Target Goals.

I. Description of the Issue.

In its June 16, 2011 action response letter to UOG, the WASC committee requested that UOG address in its November 1, 2013, Interim Report the following:

"2b. A multi-year strategic enrollment plan and demonstration of progress toward UOG's targeted goals." The WASC committee recommended "that more importance and urgency be placed at the institutional level on the issue of increasing retention and graduation rates…there has been a 4% increase in first year retention rates since 2008, but six-year graduation rates remain static at 27%. The Interim Report states that since 2009 Educational Effectiveness review, UOG has addressed retention and graduation rates through "four outcomes based activities" that include a targeted retention plan, tutoring, and working toward "increasing the level of postsecondary enrollment and preparation for Guam students." Noting that funding for several activities has been provided through grants, the panel suggests UOG consider what can be done to address these issues with resources that UOG already has. The panel expressed concern about the low three-year average of the six-year graduation rates, the declining graduation rates for 2004 male students, and the consistent decline of graduation rates for graduate programs. The panel encourages that more importance and urgency be placed at the institutional level on the issue of increasing retention and graduation rates. (CFRs 1.2, 2.5, 2.10-2.14, 3.5, 4.2, 4.6)"

II. The actions taken by the institution that address this issue.

Since 2011, the University has benefitted from its efforts on enrollment growth through ongoing positioning of the University's institutional goal of "The Natural Choice" to prospective and current local students; keeping tuition flat over the past five years; and control of local financial aid, so that we can experiment with different approaches and rewards to incentivize recruitment and persistence to degrees.

1. Strengthened University Recruitment Initiatives:

- The Natural Choice Recruitment Positioning. Recruitment videos, college night events for high school seniors, information fairs, and seminars with high school counselors served as avenues to strengthen "The Natural Choice" positioning effort. More current recruitment videos that position the theme of "There's No Place Like Home" have further contributed to this upward trajectory of increased enrollment from prospective students who would have otherwise sought off-island college education as well as current students. The change in composition of new students has resulted in less incoming freshmen needing development Math and English courses, even though this remains a serious concern to us particularly as credit hour production for Developmental Math courses remain high. See attached tables on new freshmen English and Math placement test results and credit hour production of developmental English and Math.

- Targeted UOG Recruitment through "Triton Mentor" Program Orientation for Guam High School Counselors. To strengthen recruitment, the EMSS Student Counseling Unit will coordinate the UOG "Triton Mentor" Program Orientation for Guam high school counselors. On September 13, 2013, the first "Triton Mentor" orientation and training was conducted by UOG Counseling faculty, with twenty participating high school counselors and one assistance principal in attendance. Collateral materials necessary to assist the high school counselors in disseminating UOG information to students was provided. Each counselor expressed their commitment to this partnership program.

Through this partnership program with the high school counselors, students will be more knowledgeable about the University's application and admissions process, financial aid resources and basic general college information. Through our "Triton Mentors" UOG will be represented throughout the entire school year and to all grade levels. Those counselors committed to the "Triton Mentor" program will be paid a modest stipend based upon the completion of proposed deliverables. The EMSS Student Counseling Unit will also collaborate with UOG's academic schools and colleges for follow-through recruitment success.

- Strengthened EMSS Recruitment Efforts. To continue generating University pride and to provide advisement to prospective, new and continuing students, EMSS units and the undergraduate programs hosted sixteen (16) informational sessions and participated in a series of twenty-five (25) recruitment and retention events, such as UOG college nights, campus tours, high school and military college fairs, financial aid nights held in village community centers, mall displays and community activities between 2011-2013.
- Control of Local Financial Assistance Programs. In the Fall 2012, the Guam Legislature passed legislation, which was subsequently signed into law by the Governor as PL 31-237, that granted UOG greater control over locally funded student financial assistance programs. This change has assisted the University in its marketing shift from "inexpensive" and "convenient" to "The Natural Choice" by allowing UOG to utilize these funds to augment federal financial aid, which often is not nearly enough to cover education expenses for a majority of our students. An example of this augmentation is the proposal to award $1000 from this funding source to UOG students completing a baccalaureate degree in four years.

2. Strengthened University Retention Initiatives:

As evidenced in the University's participation in the Consortium for Student Retention Data Exchange (CSRDE), tracking retention rates of first-time, full-time freshmen cohorts shows a **6.8 percent** increase when comparing Fall-to-Fall retention rates for the 2010 cohort and the 2011 cohort and continues to increase comparing the 2011 and 2012 cohorts.

The enrollment growth is attributed primarily to improved retention efforts that are described below, to maintain new freshmen recruitment and strengthen retention of existing ones.

- Strengthened retention through the AmeriCorps University of Guam Success Center site. The University has received an AmeriCorps grant annually since 2006 that provided English and Math tutoring to any University student. Approximately 160 students were served over the past two program years through tutoring and mentoring initiatives. Tutoring services offered included remedial Math, Finite Math, Freshman Compensation, Basic Business Statistics, Financial Accounting, Computer, English and Math refresher for placement examinations. Mentoring services offered at UOG include in part book readers and note takers in partnership with UOG's EEO Department, WebAdvisor, Veteran's Assistance, peer advising, financial aid peer advisement, campus tours, Applied Suicide Intervention Skills (ASIST), recruitment, and environmental stewardship.

- Kubre Student Enhancement Program. In FY11, the University was awarded the Asian American Native American Pacific Islander Serving Institution (AANAPISI) grant that provided Math tutoring and mentoring services for targeted students in developmental mathematics which began Spring 2011. The program is called *Kubre Student Enhancement Program*. Data had shown that Kubre students progressed in developmental mathematics in comparison to those who did not obtain services. In Spring 2011 64 students received services, 23 in Summer 2011.

- TRIO Student Support Services (SSS). Persistence rates for students who complete advisement, tutoring, and/or mentoring through TRIO services are higher (above 75%) than rates for students who did not receive these services at UOG. Over four academic years (AY2008-2009 through AY2011-2012), persistence rates of students who secured services through TRIO's SSS exceed their targeted 75% objective, ranging from 81% to 88%, as compared to the University averages of 67% to 76%. The number of students served averaged over 150 each academic year, for a total of 626 from 2008 through 2012.

- Cohort Model for Incoming Transition Students. In Spring 2013 EMSS, CLASS and CNAS grouped incoming transition students into EN and MA 085 cohorts, aligning the students' course schedules. Early reports from the Instructors claim that the students are showing improved attendance, engagement and participation. This cohort model is again being used in 2013 Fall.

- Strengthening Written Communication Competency. CLASS initiated a number of changes in EN085 to assist and retain all composition students from EN085 to EN111. See attached list of these activities from the Division of English and Applied Linguistics (DEAL).

- Online Student Advisement. In response to concern over students' advisement and retention and to improve effectiveness in addressing them, SBPA created an online student advisement in Summer 2012. Student advisement sheets are now downloadable online from http://www.uog.edu/dynamicdata/SchoolofBusinessForms.aspx?siteid=1&p=115 as well as the availability of student advisement tutorial in a YouTube video. The use of an online platform for advising is consistent with UOG's Going Green Initiative. See attached assessment report on the effectiveness of this project and demonstration of increased engagement with students.

- Progress of the UOG Retention Committee. The Campus-Wide Retention Committee was established in 2010 in accordance with the 2009 WASC Commission action letter to the University, which recommended that a "university-wide enrollment planning and student retention strategy" be considered. Under the leadership of the Dean of Enrollment Management and Student Services (EMSS), and chaired by a member of the EMSS faculty, its membership includes faculty representatives from the different schools and colleges. This Committee holds regularly scheduled monthly meetings throughout the academic year.

  The Committee has been engaged in researching successful retention initiatives and best practices in advising from other universities and here at UOG.The Committee has also been involved in the promotion of the Early Retention Alert System with faculty and staff.

  The Committee has made specific recommendations for increasing student retention and persistence to degreeincluding: a proposed requirement that students declare a major after completing 30 (rather than 60) credit hours, and a proposed requirement that students complete remedial coursework before enrolling in 200-level courses. This is captured in the Committee's February 25, 2013, memorandum.

  These and related recommendations must be coordinated with proposals for changes to the University's General Education curriculum, and discussion continues within the Retention Committee on whether to require completion of MA 085 (remedial math) as well as completion of EN 085 (remedial English). Members are committed to drawing on best practices from comparable institutions. Committee initiatives and recommendations such as general education credit requirements are reported to the University community through academic council meetings, Faculty Senate meetings, department meetings and through faculty professional development days.

- Good to Great. Among its other requirements, UOG's ongoing Good to Great / Program Evaluation Process (described in detail in later sections) requires academic programs to identify steps that they have taken within the last five years to improve their advisement processes and to promote retention and persistence to degree. The process further requires programs to specify plans that align with the University's strategic initiatives, which include promotion of retention and persistence to degree.
- Development of the 2012-2017 Enrollment Management Plan, aligned with updated College- and School-level Academic Master Plans. Endorsed by the College-Wide Retention Committee, this document serves as the University's coordinated effort with the academic community to address improving retention rates through the following strategies:
  - Academic Advising
  - Academic Support
  - Student Engagement
  - Learning Communities for at-risk students
  - Early Retention Alert
  - Customer Service
  - Policy Change

  This effort is ongoing and we are reviewing their plans.

- Technology improvement. The financial aid software module has been upgraded which has improved the award process as well as providing an opportunity for an early alert in identifying students who may be close to losing their financial aid eligibility.

- Strengthening Student Retention through Student Assembly. The University seeks to encourage

freshmen and sophomores to declare majors, given evidence that undeclared students are more likely to stop out. (Smith, 2008). As a result, UOG launched a Student Assembly on September 26, 2013, organized by Enrollment Management and Student Services (EMSS) and the Student Government Association (SGA), with support by the Office of the Senior Vice President of Academic and Student Affairs, and in collaboration with the academic schools, colleges, and research units. The goal of the assembly was to inform new and continuing students about the different majors, programs and support services available to them at the University. Students also had the opportunity to meet faculty members from the various colleges/schools, staff and administrators from support services units (i.e. Admissions & Records, FAO, TRIO) and SGA representatives. The Office of Admissions and Records hosted a table to issue and accept Change of Major Forms for students to declare their majors at the assembly. The assembly was well attended by over 700 students.

- Augmented College- and School-level Retention Efforts. The Senior Vice President for Academic and Student Affairs committed institutional funding to the five academic colleges and schools as incentives to augment college- and school-level efforts to strengthen retention effective Fall 2013 to Spring 2014. In a pilot program, each college and school has submitted a proposal detailing their needs to include a budget breakdown and proposed scope of work including expected outcomes/deliverables. For example, in Fall 2013, the School of Nursing and Health Sciences' Retention Plan was strengthened to include additional mentorship, orientation and socialization opportunities for students. Initiatives have already been implemented to include a Family Night, in which Nursing and Pre-Nursing students and their families meet the faculty, staff, and administrators of UOG and receive information regarding program requirements, expectations, and the need for family support systems. Attendance to this event doubled from the previous year, a record high of 138 students, family members, faculty, and staff. The Student Nurses Association of Guam assisted in the event planning and communicated the benefits of attendance to the pre-nursing students. Other school and college efforts that have been launched include augmented advisement coordinators and peer advisors.

- Writing Center. Retention increase is partially attributed to the tutoring services in the Division of English and Applied Linguistics, under the College of Liberal Arts and Social Sciences (CLASS). The University has received an AmeriCorps grant annually since 2006 that provided English and Math tutoring to any University student (see below). CLASS supports a Writing Center that is open to all students.

3. Increased Number of Degrees Conferred and Improved Graduation Rates

As evidenced in the University's participation in the Consortium for Student Retention Data Exchange (CSRDE), tracking six-year graduation rates of first-time, full-time freshmen cohorts shows a 4.3 percent increase when comparing the 2005 and 2006 cohorts. Graduation rates are increasing as reported in the Summary Data Form of this interim report. The University conferred degrees to 295 graduates during its Spring 2013 Commencement Ceremony – one of the largest graduating classes to ever pass through the halls of the island's institution for higher learning. Combined with the graduates from Fall 2012, UOG has 501 graduates for academic year 2012-2013, making it one of the largest graduating classes in university history.

2012-13 CSRDE Retention Survey

UOG First-time, Full-time, Baccalaureate Degree-seeking Freshmen Institution-wide Rates

---- Continuation Rates and Cumulative Graduation Rates ----

Year	Cohort Count	Head to_2nd_Yr	%Cont to_3rd_Yr	%Grad in_4_Yrs	%Cont in_5th_Yr	%Grad in_5_Yrs	%Cont to_6th_Yr	%Grad in_6_Yrs

Total	2002	354	63.3%	53.9%	8.2%	32.8%	18.4%	18.9%	25.4%
Total	2003	377	67.4%	51.7%	7.2%	33.4%	19.6%	16.4%	26.5%
Total	2004	439	60.6%	48.1%	6.8%	31.0%	15.7%	20.5%	24.1%
Total	2005	462	63.4%	48.3%	4.1%	35.3%	15.4%	23.2%	22.7%
Total	2006	497	63.2%	52.7%	7.6%	34.8%	17.9%	23.3%	27.0%
Total	2007	460	65.4%	51.1%	7.6%	37.4%	20.4%	22.8%	
Total	2008	497	66.6%	54.3%	9.1%	41.4%			
Total	2009	517	66.7%	54.5%					
Total	2010	490	69.2%	53.5%					
Total	2011	455	76.0%						

 Source: Office of Academic Assessment & Institutional Research

- Increase in Graduation Rates among Graduate Students. In its June 16, 2011, action letter to UOG, WASC expressed concern regarding "consistent decline of graduation rates for graduate programs." While the University reported in the Table 5 of the required Summary Data Form for its 2011 Interim Report that there had been a continuous drop in 3-year graduation rates for full-time graduate students from 2005 to 2007, the University points to the following: over the past nine years, on average, 61% of our masters students attend on a part-time basis, therefore, 61% of our masters students do not intend on completing their programs via full-time matriculation. More importantly, the University had a 10% increase in the number of masters degrees conferred comparing AY2008-2009 to AY2012-2013, and a 71% increase in the number of masters degrees conferred comparing AY2007-2008 to AY2012-2013.

III. An Analysis of the Effectiveness of these Actions to Date

Alignment of efforts through the Campus-Wide Retention Committee, the Enrollment Management and Student Services division, the academic schools' and colleges' administrators and faculty, the UOG Faculty Senate, the Office of the Senior Vice President for Academic and Student Affairs, with strategic academic goals within the Academic Master Plan (AMP) template strengthened institutional commitment and augmented ongoing efforts.

Recognized goals are aligned within the AMP template for academic schools and colleges as Goal 2.0 Student Success, Enrollment Growth, and Institutional Stature. Further, initiatives within the approved and budgeted retention proposals for all academic schools and colleges have begun. All campus stakeholders, including the Academic Officers Council and the UOG Faculty Senate, have endorsed the initiatives and academic goals that address recruitment and retention within each college's and school's Academic Master Plan.

Examples of program level recruitment and graduation process improvements include:

- Chamorro Language has improved credit hour production from 480 in Fall 2010 to 800 in Fall 2012, and increased the number of sections taught from six to ten.
- Anthropology has grown from seven declared majors in 2009 to 20 in 2012. They have also increased the number of sections taught with no sacrifice to class size. The graduated between four to five students in the past two academic years.
- Communication has grown from 53 majors in 2010 to 63 in 2012. They have also increased the number of sections taught with no sacrifice to class size. They graduated over 10 students in almost every year tracked, and graduated 20 in 2010-11 and 19 in 2012-13.
- English has increased from 50 majors in 2009 to 72 in 2012. They have been consistently at 12% of the University's Credit Hour Production every year tracked. They also went from graduating 8-10 students per year to graduating 23 in both 2011-12 and 2012-13. Their graduate program has a small number of majors; however, their graduation rate has been consistently high.
- Each of the Fine Arts tracks increased their number of majors by five students from 2011 to 2012.

- History has increased from three to six majors to 13 declared majors in 2012.
- Psychology has increased from 65 majors in 2009 to 75 majors in 2012, while still graduating 14-15 every year. Their graduate program, a relatively new program, has had 18 declared students for the past two years, and now is reporting completers.
- Sociology has grown from 11-12 majors in 2008 to 15-16 majors in 2012.

IV. Issues Remaining.

Regular monitoring of the effectiveness of all initiatives presented in this section should alleviate problems or issues relating to success and persistence to graduation.

The administrators of the Enrollment Management and Student Services and the academic schools and colleges will be made responsible for regular monitoring of the achievement of goals for these initiatives and will be required to report to the Senior Vice President for Academic and Student Affairs on an annual basis.These will be incorporated into their respective annual performance reviews to ensure institutional monitoring takes place.The Senior Vice President for Academic and Student Affairs will ensure that annual reviews are conducted to monitor this and to provide required institutional and resource support to ensure positive outcomes.

Topic C: An Update on the Reduction, Consolidation, and/or Streamlining of Academic Programs Consistent with the Strategic Plan Goals and Objectives.

I. **Description of the Issue.**

From the June 16, 2011, letter the WASC panel, noted: "The 2009 Educational Effectiveness Review team urged UOG to live within its means by "narrowing its portfolio of program offerings." Since then, UOG has consolidated, combined, capped enrollments, turned online, or moved to a cohort model in five of its programs, but has cancelled only one, with another recommended for cancellation. The Interim Report notes that during this time one new master's degree program has been added. The panel has concerns about the academic planning process at UOG, especially the control given to the departments and programs, given the Interim Report's statement that 'the deans and faculty argue that all of the programs are needed.'"

II. **The actions taken by the institution that address this issue.**

Since 2011, the University has taken the following actions:

1. Consolidation and/or Elimination of Programs. Since academic year 2011-2012, the College of Liberal Arts and Social Sciences (CLASS) has demonstrated the most progress towards addressing the need to consolidate programs. This included the consolidation of East Asian Studies and Japanese Studies under the Pacific Asian Studies, which now has three tracks: Chamorro, Japanese, and East Asian Studies; consolidation of the B.A. in English and Education as a track under the English major. CLASS plans to consolidate the B.A. in English as a Second Language (ESL) as a track under the English major, and plans to eliminate the IAS undergraduate degree program and the M.A. in Art degree program during the 2013-2014 academic year.

Other initiatives that the University has taken to address the need to sustain program offerings include the following:

- The M.Ed. in Language and Literacy was renamed M.Ed. in Reading and was transformed into an online program. Using a cohort model, with sequential term offerings, this has made it a more sustainable program given existing faculty capacity to address demand on Guam and within the region.
- The M. Ed. in Special Education and the MA in Teaching moved to a cohort model, allowing better use of resources.
- Senior Vice President of Academic and Student Affairs criteria for review includes: for each new course proposed, one should be deleted from the catalog.
- The Health Science requested to add two new concentrations, giving a total of four possible tracks within the program. This was not approved and it was returned to the program with comments on sustainability.

2. Launched "Good to Great" (G2G) Initiatives to Strengthen Efforts to Reduce, Consolidate, and/or Streamline Academic Programs Consistent with Strategic Plan Goals and Objectives. In addition to the University's efforts within the academic program review and academic course/program change processes to prevent the expansion of new programs that are not aligned with the University's strategic pursuits, UOG has executed a more comprehensive approach toward addressing prioritization through the "Good to Great" (G2G) Program Evaluation and Planning (PEP) evaluative process. Initiated by the President, the G2G process will respond to internal and external trends in higher education and the need to clarify and strengthen the institution's role in Guam and the region.

   The G2G PEP Process is an evaluative process that will culminate in concrete plans for resources and activities for the University (see *I Chalan Para I Ma'gas Na UOG*, attached). This process is based on four broad criteria for analysis: (1) Fit to the University's Statement of Greatness, (2) Sustainability, (3) Quality, and (4) Demand and Relationships. This overall assessment will entail a review of all academic and support units across the University during the 2013-2014 academic year, guided by the Program Evaluation and Planning (PEP) review process that stemmed from Robert C. Dickeson's *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance* and Jim Collin's *Good to Great and the Social Sectors*. This review will produce rankings of programs and units, and will conclude with the PEP Review Committee's report to the administration: including recommendations for aligning or restructuring of some undergraduate and graduate academic programs.

   The renewed institutional strategic objectives and priorities that surface from the G2G evaluative process will subsequently be reflected in updated academic master plans from the five academic schools and colleges.

III. **An Analysis of the Effectiveness of these Actions to Date**

i. Have the actions taken been successful in resolving the problem? The review processes for new courses and programs proposed through the Faculty Senate have resulted in more stringent assessments relating to viability and sustainability by the respective Senate review committee. Proposed new courses are not considered or approved by the Faculty Senate and the Senior Vice President unless corresponding deletion of courses are simultaneously proposed. The Faculty Senate program review committees' recommendations to programs, as well as the Senior Vice President's recommendations, have consistently addressed quality and sustainability factors for further planning considerations as part of the "closing the assessment loop of program reviews" process. Further, the roll out of the Good to Great (G2G) Program Evaluation and Planning (PEP) review process for all units and programs at the University has resulted in units and programs participating in G2G strategic retreats as a prelude to writing their reports that are due December 5, 2013. This review process has been made transparent to all University employees, with guidelines and other pertinent information made available to them through the University's Portal (internal online communications system for University employees).What is the evidence supporting progress? The actions reflected in section II. 1. of this section provide examples of program sustainability, eliminations, and consolidations. The University's G2G PEP review process is a more comprehensive and strategic approach toward reduction, consolidation, and/or streamlining of programs. G2G PEP review process is already underway in Fall 2013 with prescribed deadlines for review and submission of reports. G2G retreats and meetings among units have already begun since September 2013 and the University is in the report-writing phase.
ii. What further problems or issues remain? None are anticipated at this time.
iii. How will these issues be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned steps with milestones and expected outcomes for each issue. The senior administration, consisting of the President, Senior Vice President for Academic and Student Affairs, and Vice President for Administration and Finance will collectively ensure the execution of outcomes from the G2G PEP review process that will be established by end of Spring 2014. Measurements of success will be tracked within a one to two year period after execution of planned changes in Fall 2014.

Topic D: Demonstration of the alignment of enrollment, program review, academic planning, and strategic planning.

I. **Description of the Issue**.

From the June 16, 2011 letter, the WASC panel noted: "WASC expects that 'planning processes at the institution level define and, to the extent possible, align academic personnel, fiscal, physical, and technological needs with the strategic objectives and priorities of the institution.' (CFR 4.2) The panel urges the University to develop an academic planning process and tie it to the institutional plan. Furthermore, the panel, observing plans for a new School of Engineering and the establishment of a new Center for Island Sustainability and a new Center for Distance Education, urges UOG to seriously address the relationship of expansion to consolidation, to determine which of these is the 'driver' of the academic programs, and to think of long-term sustainability." (CFRs 38, 3.5, 3.11, 4.1, 4.2, 4.4)

WASC encourages UOG to align assessment to program review, program review to the academic plan, and the academic plan to the strategic plan. The panel acknowledged the efforts made within assessment and program review and recommends that it is now time for the University to make a coherent plan for program review." (CFRs 2.7, 4.4, 4.6, 4.7)

II. **Actions Taken by the Institution that Address this Issue.** Since 2011, the University has initiated several major initiatives that more effectively address this issue. The first includes strengthened review processes for ensuring better alignment of enrollment, program reviews, and academic and strategic planning. The second addresses the strategic decision making process by which the University of Guam will more effectively address the conditions and challenges it will face over the course of the next five to ten years. This includes a more comprehensive and strategic assessment of existing programs and units at the University to streamline and reposition quality demand -based programs that are fiscally sustainable and fit within a renewed mission of a great university. It will entail establishing priorities for programs and activities, ranking priorities for resource allocations, and identifying opportunities for revenue generation and operational savings. The end result should be better alignment of the university's academic goals with institutional goals and priorities. The third initiative includes updated academic master plans that incorporate and align renewed strategic goals that result from the final G2G PEP review report.

1. Strengthened Program Review Processes. Since 2012, the University has followed the (revised) approved program review processes. The academic program review process, reflected in the approved *Undergraduate Program Review Handbook 2012* and the *Graduate Program Review Handbook (July 2012)*, provides the control mechanism to ensure assessment, sustainability, and recruitment and retention efforts are addressed, recommendations are integrated to academic and physical plans, and all coincide with institutional strategic initiatives. As each program review report goes through review by the respective Faculty Senate process, with corresponding recommendations for endorsement, this is followed by the Senior Vice President for Academic and Student Affairs' review and recommendations for action that touch on the factors presented in this section. The Program Review process results in action plans for implementation and monitoring, resource allocation decisions and input to academic master plans
2. Alignment through G2G Program Evaluation and Planning (PEP) Review Process. The current G2G PEP review process that launched in early Fall 2013 and will span to early Spring 2014 will factor these reviews as each program is subjected to evaluative processes that cut across its fit to mission (of a great university), academic quality, sustainability, and demand/relationships. This provides a more objective assessment of program retention, and will effectuate better alignment of enrollment demand, relevance, and sustainability concerns for long-term academic planning and resource allocations that aligns better with renewed institutional planning priorities.

   To ensure buy-in for the G2G evaluation review, the President launched a communications timeline that culminated in multiple internal stakeholder sessions and complete information about the process and indicators for review posted on online. Presentations by President Underwood were made at the Fall 2013 Faculty Convocation, Staff Assembly, and unit-level meetings. The Board of Regents adopted a resolution to endorse this process. Academic schools and colleges, as well as support units, have already embarked on G2G strategic retreats and meetings as the basis for completing their PEP self-study reviews for reports due on December 5, 2013. The G2G PEP review process will also serve as the instrument to better align resources with strategic institutional priorities and core commitments within the pending Academic Master Plans from all academic colleges and schools.

   3. Endorsed an updated Academic Master Plan template that aligns academic planning with institutional goals. Since 2012, the Academic Master Plan (AMP) ad hoc group consisting of representatives from the Faculty Senate and administrators made progress on developing the overarching Academic Master Plan template endorsed by the Faculty Senate and academic administrators. Based on the AMP template, each college's and school's AMP will contain as a

minimum the University's institutional goals, which will fall within the following core commitments: academic quality; student success, enrollment growth, and institutional stature; the land grant mission and engagement; and institutional effectiveness and efficiency. Enrollment and program review data/outcomes will be embedded in each college's and school's Academic Master Plan. The evaluation of college and school administrators will be tied to the achievement of institutional and academic goals as presented in their respective Academic Master Plan.

Academic Master Plans will be updated in conjunction with the G2G PEP review process and reflection of its outcomes prior to the close of the 2013-2014 academic year. As the University prepares for its next budget planning cycle for fiscal year 2015 (for 2014-2015), the respective schools and colleges will be required to use their reports and input to their related respective draft Academic Master Plan as a basis for budget planning.

III. **An Analysis of the Effectiveness of these Actions to Date**

i. Have the actions taken been successful in resolving the problem? The updated program review processes for undergraduate and graduate programs have proven to be more effective towards institutionalizing accountability of programs by three groups: the Faculty Senate's undergraduate or graduate review committee, the Director of Assessment and Institutional Research, and the Senior Vice President of Academic and Student Affairs. The expected outcomes towards alignment are embedded in the expectations from the institutionalized program review and academic master plan processes, as aligned with institutional goals.
ii. What is the evidence supporting progress? Evidence is found in files containing the Faculty Senate's committee recommendations to the Senior Vice President as well as the Senior Vice President's recommendations to the program faculty and their respective Dean for suggested action that touch on program quality and sustainability. Evidence is further supported within the strategic academic goal of "1.0 Academic Quality" of the AMP template for academic schools and colleges. Where all academic schools and colleges have institutionalized their respective commitment towards implementation of improvements (closing the loop) as a result of assessment outcomes.
iii. What further problems or issues remain? Pending achievement of goals within the AMP, and corresponding linkage to administrator evaluations.
iv. How will these issues be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned steps with milestones and expected outcomes for each issue. The Senior Vice President for Academic and Student Affairs will require each academic college and school to submit an annual report of progress made toward program review recommendation letters, as part of the closing of the loop on program reviews. Each school's and college's AMP will be reviewed annually for alignment of program review recommendations and demonstrated achievement towards strategic academic goals. The outcomes of these reviews will be used as part of the annual performance review of each respective school and college administrator by the SVP.

Topic E: Demonstration of Closing the Loop in the Assessment Process, with Specific Examples.

I. **Description of the Issue.**

This issue pertains to two areas of assessment: General Education (GE) curriculum and program level assessment of student learning outcomes as noted in the June 2011 WASC Action Letter:

"In February 2009 the University underwent an onsite EER visit.The EER team was concerned that the GE program appeared to be too complex to assess in a sustainable and meaningful way. Indeed, The EER team specified that Data Exhibit 7, attached to the *EER Self Study*, indicated that little progress has occurred with respect to identifying indicators, either formative or summative, or establishing systematic means of assessing learning across the disciplines or of closing the loop, for any GE category".

The EER team observed that, having established learning outcomes, programs were beginning to gather assessment data and to use these to make curricular or pedagogical improvements.

II. **The Actions Taken by the Institution that Address this Issue.**

Since 2011, the University has taken the following actions:

Assessing General Education.

In response to a resolution adopted in 2011 by the Faculty Senate, which noted that the University's General Education curriculum had not been reviewed in more than ten years, and that General Education requirements must align with core competencies identified by WASC, the University's General Education Review Committee (GERC) has undertaken a comprehensive and systematic review of existing General Education course requirements, and the task of making recommendations for alternatives that will (1) align requirements of the General Education curriculum with the University's strategic and academic master plans, and (2) more fully address core competencies required by WASC. GERC is actively incorporating feedback from faculty and administrators throughout the University in drafting its recommendations. See attached statement from the GERC.

AY2010-2011 Using the Pre-Professional Skills Test (PPST), the English Department assessed the composition student learning outcomes. This study resulted in a recommendation "based on this sole assessment project that the Director of Composition in consultation with DEAL faculty identified an appropriate assessment tool that will assess SLOs specific to EN111.The National Council of Teachers of English and the Convention of College Composition and Communication posit that local faculty and professionals in the discipline articulate which or what assessments are appropriate for an institution's specific demographic (CCC,2012). If it is the University's or CLASS administration's intent to implement an exit exam or formal assessment at the end of the composition sequence, then further research and consultation are needed to identify an appropriate tool to do so." (See attached report.)In June 2012, the Faculty Senate charged its standing General Education Review Committee to evaluate the University's current General Education curriculum in light of the competencies required by WASC Standard 2.2a, and to seek specific and documented information on corresponding ways in which the General Education curriculum may be improved.

The feedback to GERC on proposed revisions to the University's General Education curriculum includes recommendations from the CLASS Consortium on Critical Thinking, to close the loop on evidence of UOG students' insufficient attainments in critical thinking: by identifying specific elements of critical thinking (e.g., argument analysis, hypothesis testing, drawing valid conclusions) to be addressed in student learning objectives for individual courses contributing to General Education, and to be assessed in systematically and cyclically, within these courses.

Faculty in the respective GenEd subject areas are collaborating with Major program faculty by identifying GenED related areas within their programs where there are notable student weaknesses and strengths (e.g., Math and English faculty are collaborating with Nursing, Education, Business Admin faculty)

Closing the Loop

In March 2009, a requirement was established by the Senior Vice President for all academic programs to submit each year, beginning April 2010, an annual assessment inventory reportto establish a cycle for reporting plans, data collection, and closing the loop activities in order to track annually the status of assessment activities. To sustain these efforts, the committee was tasked with identifying ways to institutionalize assessment without prescribing the assessment plans or measuring tools, and just as importantly, without adding additional burden to the program review cycles.These annual assessment inventories are used by the program unit as part of its program review report that is scheduled every five years.The UAC encouraged programs to provide copies of these inventories to their respective AAC so that they would be informed of the assessment activities.This inventory is designed to assist with the on-going assessment process and to dovetail with assessment reporting in the program review process. The University procured an assessment management system, TracDat, which allows programs to document assessment plans, methods of assessment, program learning outcomes, results and closing the loop actions.Programs document linkages of course student learning outcomes to general education learning outcomes; to program learning outcomes; and to institutional learning outcomes.The University Assessment Committee adopted TracDat as the venue for monitoring assessment at the program and institutional level and have encouraged programs to use TracDat for assessment inventory submissions.CLASS and CNAS which combined offer the most number of undergraduate programs are utilizing TracDat for

documenting assessment and linking course assessment to program learning outcomes.

Therehave now been four (4) iterations of annual submissions from the programs. See attached table reporting closing the loop activities by the programs.

The Inventory of Educational Effectiveness Data Exhibit for this interim report now reflects that marked progress has occurred with respectto identifying indicators and established systematic means of assessing learning across the disciplines as well as closing the loop.The University has institutionalized formal processes for addressing recommendations that result from the "closing the loop" discussions by programs—for courses as well as programs—depending on whether the recommended change is "non-substantive" or "substantive."See attached flowchart on how this determination is made.

The ongoing Good to Great / Program Evaluation Process also requires academic programs to provide documentation of consistent and systematic use of assessments that have identified areas for improvement," and "documentation of 'closing the loop' with specific changes to the curriculum and/or pedagogy, on the basis of analyzed assessment data.

III. **An Analysis of the Effectiveness of these Actions to Date**

i. Have the actions taken been successful in resolving the problem? The process of assessing GenEd curriculum is still in progress. The implementation of the annual assessment inventory process has provided a venue to report and track assessment activities, from planning to closing-the-loop on an annual basis, rather than waiting for the five-year self-study report. Notwithstanding, the program review handbooks (for undergraduate and graduate programs) have been revised in 2012 to require more specific evidence at the various stages of the assessment cycle on assessment of student learning outcomes at the program level.

ii. What is the evidence supporting progress? Curriculum pedagogical changes have occurred. See attached table on program level closing the loop. At the request of the University Assessment Committee, the Faculty Senate has begun to include a statement in the program reviews as to the level of maturity a program is at with regard to assessment of student learning outcomes at the program level. They are using the WASC quality of program level assessment rubric to guide their analysis.

iii. What further problems or issues remain? GenEd assessment is progressing, but at a slower pace than anticipated. Assessment at the institutional level of graduation proficiency to demonstrate core competencies in critical thinking using the California Critical Thinking Skills Test (CCTST) and in written communication using CLA are on-going.

iv. How will these issues be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned steps with milestones and expected outcomes for each issue. Faculty development will be scheduled to introduce the assessment cycle to new faculty and to move GenEd, program level and institutional level assessment along the development continuum. Assessment of critical thinking began Fall 2013 with entry tests administered to 10 percent of the entering Freshmen and exit tests to 10 percent of seniors applying for graduation. The Insight Assessment CCSTS instrument is being used. See attached memo identifying the timeline.

			Revenues ($000)			Audited Revenues					
University Generated Revenues	FY12	FY11	FY10	FY09	FY08	FY07	FY06	FY05	FY04	FY03	FY02
Tuition and Fees (Gross)	$ 21,861	$ 21,630	$ 20,740	$ 18,514	$ 16,078	$ 15,074	$ 12,955	$ 11,598	$ 10,391	$ 10,337	$ 9,664
Grants and Contracts (net*)	41,002	36,549	28,745	21,472	19,023	19,134	19,921	18,068	18,971	17,389	12,650
Auxiliary Enterprises & Other Revenues	7,192	7,467	7,727	2,214	2,266	2,418	2,225	2,080	4,222	5,272	1,895
Total University Generated Revenues	70,055	65,646	57,216	42,148	37,364	36,626	35,101	31,746	33,583	32,998	24,229
GovGuam Appropriations	34,197	31,936	33,072	32,952	31,776	30,302	26,962	29,042	29,042	28,922	31,291
Total Revenue (excl investments, bad debt recovery provision, retiree healthcare)	$ 104,252	$ 97,582	$ 90,286	$ 75,100	$ 69,140	$ 66,928	$ 62,067	$ 60,788	$ 62,625	$ 61,920	$ 55,520
* Fed Grants are net of scholarships which are counted in gross tuition											
** GovGuam Appropriation: Genl Ops, Special, SFAP, YEC (YEC transferred to UOG in 2007) + UOG CIP											
Govt of Guam Appropriation	33%	33%	37%	44%	46%	45%	43%	48%	46%	47%	56%
University-generated revenue	67%	67%	63%	56%	54%	55%	57%	52%	54%	53%	44%

Attachments DEAL_composition_activities_report_12.pdf, SBPA_Assessment_of_Student_Advisement_by_Ruane_Oct2012.pdf, Road_to_the_Great_UOG_03May2013.pdf, closingtheloop_inventory.pdf,

mem_UAC_assess_graduation_proficiency_core_competencies_svp_signed.pdf,
PPST_Composition_Assessment_Report.pdf,
08FA_12FA_English_and_Math_Placement_for_Entering_New_Freshmen.pdf,
MA_EN_Developmental_CrHrProd.pdf,
Process_for_Substantve_and__NonSubstantive_Changes.pdf, GERC_activity_statement_WASC.pdf

V. Identification of Other Changes and Issues Currently Facing the Institution

Identification of Other Changes and Issues Currently Facing the Institution

Instructions: This brief section should identify any other significant changes that have occurred or issues that have arisen at the institution (e.g., changes in key personnel, addition of major new programs, modifications in the governance structure, unanticipated challenges, or significant financial results) that are not otherwise described in the preceding section. This information will help the Interim Report Committee gain a clearer sense of the current status of the institution and understand the context in which the actions of the institution discussed in the previous section have taken place.

1. As stated in the Institutional Context section of this report, Dr. Helen J.D. Whippy, retired from the University in July 2013 as the Senior Vice President for Academic and Student Affairs and WASC ALO. Dr. Anita Borja Enriquez, Dean for the School of Business and Public Administration has since been appointed the Interim SVP. Other retirements or separations have resulted in the following appointments:

- *Remedios Cristobal, Interim Dean for Enrollment Management and Student Services*
- *Dr. Margaret Hattori-Uchima, Interim Director for the School of Nursing and Health Sciences*
- *Dr. John Sanchez, Interim Dean for the School of Education*
- *Dr. Annette Santos, Interim Dean for the School of Business and Public Administration*
- *Dr. Monique Storie, Interim Director for the Learning Resources and the Micronesian Area Research Center*

2. *See discussion of Good to Great initiative.*

VI. Concluding Statement

Concluding Statement

Instructions: Reflect on how the institutional responses to the issues raised by the Commission have had an impact upon the institution, including future steps to be taken.

The University has strengthened its institutionalized financial and academic processes to ensure that it can sustain its mission and strategic priorities. The Good-to-Great Program Evaluation and Planning initiative speaks to the University's firm commitment to holistically and strategically address planning according to best practices in higher education.

The University is financially well managed. Revenues have been diversified with University-generated revenues now comprising 67% of consolidated revenues. The financial position has stabilized through improved cash and financial management processes that have led to substantial cash reserves, significantly increased operating account balances, and financial surpluses in nine of the last ten fiscal years.

Much progress has been made with institutionalized recruitment and retention efforts. Local control of our financial aid program strengthens the attractiveness of the University as "The Natural Choice." There is closer alignment of assessment and program review recommendations with academic and strategic planning, institutional priorities and budgeting. The efforts of the Enrollment Management and Student Services (EMSS) division are aligned with the academic colleges and schools' recruitment and retention efforts, which have contributed to the trajectory of high enrollment growth that the University has achieved over the past several years.

Assessment of student learning outcomes is happening at the program level using direct measures. An institutional annual reporting procedure of program level assessment has been in place for four years to document plans, direct and indirect measures of assessment, data analysis, and closing the loop for curriculum and pedagogical improvements. The University has begun this year assessing two of the

three core competencies expected of it for its next accreditation review.

We continue to grow as an institution because of the recognition of our value to Guam and the region. Our support from the political leadership on the island is evidenced by the increased flexibility given to the University and the support of additional funds to forestall tuition increases. The enhanced image of the University in the community is evidenced by steady enrollment increases and the utilization of University resources and capabilities by the Government of Guam, community organizations, military commands and new relationships with other universities in the Asian Region, including South Korea, Japan, China and the Philippines.

This growth is made possible by a community of scholars and a University workforce empowered by their sense of mission and adherence to standards of quality and innovation facilitated by the review and assistance of the accreditation process. We feel confident that we will not only be able to meet expectations of quality, coherence and sustainability, but that we will bring renewed opportunities for an engaged group of professionals ready to advance the development of island societies.

VII. Required Documents for all Interim Reports

Required Documents

Instructions. Attach the following documents:

1. Current catalog(s) [.pdf or link to web-based catalog]

Click here for the University of Guam AY2013-2014 Undergraduate Catalog or post the following url to browser:

https://dl.dropboxusercontent.com/s/ljlwojco4ppaygp/2013-2014-Undergraduate-Catalog-Fin.pdf?token_hash=AAG-IOELT7H1X6cumP4u_f1XmdS1pu4UhI-BTPe0b6q5xg

Click here for the University of Guam AY2013-2014 Undergraduate Catalog or post the following url to browser:

https://dl.dropboxusercontent.com/s/r08mr6kwykoqlxp/2013-2014-GRADUATE-BULLETIN-101513.pdf?token_hash=AAFi5_iTCABgcnZcfWzYwo_BVzGIls-sgQD17y0R1umxUA

2. Mission statement (unless in catalog)

Mission statement is published in catalog.

3. Summary Data Form

See attached Summary Data Form

4. Complete set of Required Data Exhibits

See attached Data Exhibit File with all required tables

5. Most recent audited financial statements by an independent certified public accountant or, if a public institution, by the appropriate state agency; management letters, if any.

See attachments

6. Organization charts or tables, both administrative and academic, highlighting any major changes since the last visit

See attachment

Attachments FY12_Audit_MDA_final_Mar11.pdf, uog_audited_compliance_report_for_distribution.pdf, uog_fy12_audit_highlights.pdf, uog_FY12_audit_management_letter_comments.pdf, uog_FY12_audited_sas114__report.pdf,

UOG_audited_financial_statements_FY12__Final_Mar_11_2013_.pdf,
Org_Chart_Oct_15__2013.pdf, Summary_Data_Form_2013.pdf,
Interim_Report_Data_Exhibit_Form_2013.pdf

VIII. Additional Financial Documents

Additional Financial Documents

If any of the issues identified in the Commission's action letter relate to financial management or financial sustainability, the Interim Report must also include the following documents. Attach them to this page.

1. Financial statements for the current fiscal year including Budgeted and Actual Year-to-Date and Budgeted and Actual Last Year Totals.

See attached financial statements for the current fiscal year as of August 31, 2013.

2. Projected budgets for the upcoming three fiscal years, including the key assumptions for each set of projections.

See attached projected budgets and planning assumpstions.

Attachments current_financials_August_2013.pdf,
FY15_Planning_Assumptions__2012_2016__11_1_13_final.pdf,
3_year_projections_2014_2016_for_WASC__11_1_13_final.pdf